



**Central Depository Services (India) Limited**

*Convenient + Dependable + Secure*

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# **ANNEXURES**

## **JUNE 2017**

*CDSL : your depository*

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## Additional KYC Form for Opening a Demat Account

## For Individuals 5

<b>Depository Participant Name/Address</b>
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(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		Client ID								

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

**Holders Details**

Sole / First Holder's Name	PAN																		
	UID																		
Second Holder's Name	PAN																		
	UID																		
Third Holder's Name	PAN																		
	UID																		

<b>Name *</b>	_____
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

**Type of Account (Please tick whichever is applicable)**

Status	Sub – Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify) _____

**Details of Guardian (in case the account holder is minor)**

Guardian's Name	_____	PAN	_____
Relationship with the applicant	_____		
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit]		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end (If not marked, the default option would be 'No')			<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____			<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA			<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic		

I / We wish to receive dividend / interest directly in to <b>my</b> bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)	_____
IFS Code (11 character)	_____
Account number	_____

Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name	_____									
Branch Name	_____									
Bank Branch Address	_____									
City	_____	State	_____	Country	_____	PIN code	_____	_____	_____	_____

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
(ii) Photocopy of the Bank Statement having name and address of the BO  
(iii) Photocopy of the Passbook having name and address of the BO, (or)  
(iv) Letter from the Bank.  
➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details Gross Annual Income Details	<b>Income Range per annum:</b> <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ₹ 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000																	
	Net worth as on (Date) <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> Rs										D	D	M	M	Y	Y	Y	Y
	D	D	M	M	Y	Y	Y	Y										
[Net worth should not be older than 1 year]																		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____																	
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)																	
Any other information: _____																		

SMS Alert Facility Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).																		
	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST																		
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions <b>Annexure – 2.6</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;">Stock Exchange Name/ID</th> <th style="width: 33%;">Clearing Member Name</th> <th style="width: 33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>										Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)																	
<i>Easi</i>	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.																		

**Nomination Details**

<b>Nomination Registration No.</b>	<b>Dated</b>

- I /We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:  
 I/We **do not wish to nominate any one for this demat account.**  
 I/We **nominate** the following persons who is/**are** entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name	.....	.....	.....
Nomination Details	Nominee 1	Nominee 2	Nominee 3

*Address:			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor) *First Name: Middle Name: *Last Name	..... ..... .....	..... ..... .....	..... ..... .....
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Telephone			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note :** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

\* Marked is Mandatory field



This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

**Note:** **One witness** shall attest signature(s) / thumb impression(s)

Details of the Witness	
First Witness	
Name of witness	
Address of witness	
Signature of witness	

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

*(Signatures should be preferably in blue ink).*

===== (Please Tear Here) =====

**Acknowledgement Receipt**

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**

===== (Please Tear Here) =====

**Additional KYC Form for Opening a Demat Account****For Non-individuals**

<b>Depository Participant Name / Address / DP ID</b>
--

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		Client ID								

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details :-

**Holders Details**

Sole / First Holder's Name		Search Name		PAN											
Second Holder's Name				PAN											
				UID											
Third Holder's Name				PAN											
				UID											

<b>Name *</b>	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

<b>Type of Account</b> (Please tick whichever is applicable)	
<b>Status</b>	<b>Sub – Status</b>
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____	<b>To be filled by the DP</b>
SEBI Registration No. (If Applicable)	SEBI Registration date
RBI Registration No. (If Applicable)	RBI Approval date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be `Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be `No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)

**Clearing Member Details (To be filled by CMs only)**

Name of Stock Exchange	
Name of CC / CH	
Clearing Member Id	Trading member ID

I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be `Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
  - In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details	
Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000
	Net worth as on (Date)    D   D   M   M   Y   Y   Y   Y   Rs <i>[Net worth should not be older than 1 year]</i>
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.	
Any other information:	

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).									
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
<i>Easi</i>	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)

*(Signatures should be preferably in black ink).*

===== (Please Tear Here) =====

**Acknowledgement Receipt**

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**

===== (Please Tear Here) =====

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**Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [ For-non-individual]**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

Sr.No	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name &amp; Signature of the Authorised Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_ PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

**Instructions to the Applicants (BOs) for account opening:**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8<sup>th</sup> Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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**Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL****[SMS Alerts will be sent by CDSL to BOs for all debits]****Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.







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**Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL****1. Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

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11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
  13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
  14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
  15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
  16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
  17. Indemnity:  
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
  18. Disclaimer:  
Depository shall be absolved of any liability in case:-
    - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
    - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

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

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

**Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

**Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

**Dematerialization**

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

**Separate Accounts**

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

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

#### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

#### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

#### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the

Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### **Redressal of Investor grievance**

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

#### **Authorized representative**

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

#### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have

under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**Additional information to be obtained along with the SARAL Account Opening Form  
for Resident Individuals**

Date	D	D	M	M	Y	Y	Y	Y

To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID		Client ID								

**Holders Details**

Sole / First Holder's Name		UID																	
Second Holder's Name		PAN																	
		UID																	
Third Holder's Name		PAN																	
		UID																	

<b>Name *</b>	_____
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

<b>Status</b>	<b>Sub – Status</b>
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I/ We wish to receive dividend / interest directly in to <b>my</b> bank account as given in SARAL AOF through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

<b>Other Details</b> Gross Annual Income Details	<b>Income Range per annum:</b> <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ₹ 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000
	Net worth as on (Date) _____ [Net worth should not be older than 1 year]
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information:	



<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).													
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – 2.6</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" data-bbox="565 527 1333 625"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)												
<i>Easi</i>	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.													

## Nomination Details

<b>Nomination Registration No.</b>	<b>Dated</b>

I /We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We **do not wish to nominate any one for this demat account.**
- I/We **nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name : *First Name: Middle Name: *Last Name	..... ..... .....	..... ..... .....	..... ..... .....
Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address:			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a			

minor) *First Name: Middle Name: *Last Name	..... ..... .....	..... ..... .....	..... ..... .....
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Telephone			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note :** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

**Note:** **One witness** shall attest signature(s) / thumb impression(s)

Details of the Witness	
	<b>First Witness</b>
Name of witness	
Address of witness	
Signature of witness	

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

*(Signatures should be preferably in black ink).*

===== Please Tear Here) =====

**Acknowledgement Receipt**

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**

**Account Details Addition / Modification / Deletion Request Form**

<b>Depository Participant Name / Address</b>
--

Application No.		Date	D	D	M	M	Y	Y	Y	Y
-----------------	--	------	---	---	---	---	---	---	---	---

Please fill all the details in Block Letters in English

DP ID		Client ID								
-------	--	-----------	--	--	--	--	--	--	--	--

**Account Holder's Details**

Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

- I/We request to carry out the change of correspondence/permanent address / signature in the demat account
- I/We request to carry out the change of address / signature in the KRA and demat account

I/We request you to make the following additions / modifications / deletions to my/our account in your records.

DETAILS (Please specify change of correspondence /permanent address, bank details, telephone number, sub-status etc.)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

===== (Please Tear Here) =====  
**Acknowledgement Receipt**

Received Account Details Addition / Modification / Deletions request as per details given below :

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP ID		Client ID								
Name of the Sole / First Holder										
Name of Second joint Holder										
Name of Third joint Holder										
Modification requested for: [Specify reason]										

**Depository Participant Seal and Signature**

## Nomination Form

**To,  
The Depository Participant Name  
Address**

Dear Sir/ Madam,

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/We do not wish to nominate any one for this demat account.  
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details															
DP ID										Client ID					
Name of the Sole / First Holder															
Name of Second Holder															
Name of Third Holder															

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name	.....	.....	.....
*Address:			
*City:			
*State:			
*Pin:			
*Country:			
Telephone No:			
Fax No:			
Nomination Details	Nominee 1	Nominee 2	Nominee 3
PAN No:			
UID :			
Email ID:			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name	.....	.....	.....
*Address of the			

Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Telephone:			
Fax No:			
Email ID:			
*Relationship of the Guardian with the Nominee:			
*Percentage of allocation of securities:			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note :** Residual securities: incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: **One witness** shall attest signature/ Thumb impression.

Details of the Witness	
	<b>First Witness</b>
Names of Witness	
Address of Witness	
Signature of Witness	

**(To be filled by DP)**

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_.

For Depository Participant  
(Authorised Signatory)

===== (Please Tear here) =====

**Acknowledgement Receipt**

Received nomination from :

DP ID										Client ID								
Name																		
Address																		
Nomination in favor of <b>First - Nominee</b>																		
<b>Second - Nominee</b>																		
<b>Third - Nominee</b>																		
<u>No Nomination</u>		<input type="checkbox"/> Does not wish to nominate																
Registration No.									Registered on		D	D	M	M	Y	Y	Y	Y

**Depository Participant Seal and Signature**

**Dematerialisation Request Form**

- Normal Dematerialization  Transmission-cum- Dematerialization  
 Transposition-cum-Dematerialization

<b>Depository Participant Name / Address</b>
--

(To be filled up by the Depository Participant)

DRN		Date	D	D	M	M	Y	Y	Y	Y
DRF No.		Date	D	D	M	M	Y	Y	Y	Y

(To be filled by the BO. Please fill all the details in **BLOCK LETTERS** in English. Fill up a separate DRF for Free securities and Locked – in securities. In case of locked - in securities fill up a separate DRF for different lock-in reason / lock-in expiry dates.)

I / We request you to dematerialise the enclosed security certificate(s) registered in my / our name into my / our demat account.

DP ID						Client ID														
Name of First Holder																				
Name of Second Holder																				
Name of Third Holder																				
Name of the Company																				
ISIN		I	N																	
Quantity to be Dematerialized		(In Figures)																		
		(In Words)																		
Number Of Certificates (in words)																				
Nature of Securities		<input type="checkbox"/> Free Securities <input type="checkbox"/> Lock-in Securities																		
Lock-in reason																				
Lock in Expiry Date		D	D	M	M	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	

<b>Details of Securities:</b>										
Type of Security					<input type="checkbox"/> Equity <input type="checkbox"/> Debentures <input type="checkbox"/> Bonds <input type="checkbox"/> Units					
					<input type="checkbox"/> Other (Specify)					
Face Value of Securities										
					From	To	From	To	From	To
Folio No.										
Certificate Numbers										
Distinctive Numbers										
Quantity										

Attach an annexure (duly signed by account holder(s)) in the above format if the space is not sufficient.

The original certificates / documents are hereby surrendered by me / us for dematerialisation and the same are free from any lien or charge or encumbrance and represent the bonafide securities of the Issuer Company to the best of my / our knowledge and belief.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature with DP			
Signature with RTA			

**Participant Authorization** (From DP to RTA)

We have received the above-mentioned securities bearing ISIN\_\_\_\_\_ for Dematerialisation. The Application form is verified with the Certificates / Documents surrendered for dematerialisation and we certify that the application form is in accordance with the details mentioned in the enclosed certificates / documents. It is also certified that the Holder(s) of securities have a beneficiary account with us in the same name(s) and order of name(s).



Depository Participant Seal and Signature

======(Please tear here)=====

Acknowledgement Receipt

DRF No.		Date	D	D	M	M	Y	Y	Y	Y
DP ID		Client ID								
First / Sole Holder Name										
Second Joint Holder Name										
Third Joint Holder Name										
Name of the Company										
Type of Security	<input type="checkbox"/> Equity <input type="checkbox"/> Debentures <input type="checkbox"/> Bonds <input type="checkbox"/> Units <input type="checkbox"/> Other (Specify)									
ISIN										
No. of Securities (in figures)										
No. of Securities (in words)										
No. of Certificates (in figures)										
No. of Certificates (in words)										

We hereby acknowledge the receipt of certificates / documents, in respect of the above securities for dematerialization subject to verification.

Depository Participant Seal and Signature

Instructions:

1. In case of transmission-cum-demat, a notarized copy of death certificate of the deceased holder, copy of the Order of the Court, etc. to be attached with DRF.
2. In case of transposition-cum-demat, a duly executed Transposition Request Form to be attached with the DRF.

**APPLICATION FORM FOR TRANSPOSITION [TPRF]  
[TO BE ATTACHED WITH DRF]**

<b>Depository Participant Name / Address</b>
--

TPRF No.		Date	D	D	M	M	Y	Y	Y	Y
----------	--	------	---	---	---	---	---	---	---	---

Please transpose the names of the holders of securities as identified in the accompanying demat request form and thereafter credit the same in the demat account as detailed below:

DRF No.		Date	D	D	M	M	Y	Y	Y	Y
Name of the Company										
ISIN	I	N								

DP ID		Client ID								
Name of the holders (As it appears in the Demat Account)										
First / Sole Holder Name										
Second Holder Name										
Third Holder Name										

Name of the Holders (As it appears on the Certificates):

Folio Nos. -

Sr. No.	Name(s) of the Holder(s)
1.	
2.	
3.	

Folio Nos. -

Sr. No.	Name(s) of the Holder(s)
1.	
2.	
3.	

Folio Nos. -

Sr. No.	Name(s) of the Holder(s)
1.	
2.	
3.	

	First / Sole Holder	Second Holder	Third Holder
Name (as per demat a/c)			
Signature with DP			
Signature with RTA			

We state that the above details are true to the best of our knowledge

**Depository Participant Seal and Signature**

- Note:
1. Separate Transposition form should be filled by the joint holders for securities having distinct ISIN.
  2. Please write each combination of names in separate boxes.
  3. Use separate transposition form if there are more than three combinations of names.

[Duly Stamped]

**DEED OF INDEMNITY (For loss of shares in transit)**

The DEED OF INDEMNITY is made at \_\_\_\_\_ this \_\_\_\_ day of \_\_\_\_\_ between \_\_\_\_\_, registered as a Depository Participant with the Central Depository Services (India) Limited [CDSL] (hereinafter referred to as "the Depository Participant") and its successors of the **ONE PART** and \_\_\_\_\_ (name of the institution) hereinafter referred to as "**the Issuer/RTA**" (*which expression shall unless repugnant to the context or meaning thereof be deemed to mean and include its successors*) of the **OTHER PART**.

WHEREAS,

1. The BO \_\_\_\_\_ (holding account no. \_\_\_\_\_) has lodged \_\_\_\_\_ securities of the Issuer vide Folio no. \_\_\_\_\_ bearing distinctive no. \_\_\_\_\_ to \_\_\_\_\_ vide certificate no. for dematerialisation on \_\_\_\_\_.
2. The DP has generated DRN \_\_\_\_\_ in respect of the above mentioned securities submitted by the BO.
3. **The Depository Participant** has forwarded the same to **the Issuer/RTA** along with the duly cancelled certificates on \_\_\_\_\_ vide courier/Registered Post/Speed Post bearing courier consignment no./Registered A D no./ Speed Post Receipt no. \_\_\_\_\_.
4. **The Issuer/RTA** has stated that he is **not** in receipt of the said Certificates/documents in lieu of certificates/documents conveying ownership of securities till date.
5. **The Issuer/RTA** has/have rejected the demat request on \_\_\_\_\_ as the said certificates has/have not been received till date and it is construed that the documents has/have been lost in transit.
6. The DP hereby declares that the said certificates received from the BO was/were duly cancelled and forwarded to you for dematerialisation and undertake that in case the DP comes across the original certificates they shall surrender the same to the Issuer/RTA.

7. The DP has/have now raised a fresh demat request for the said certificates, which were lost in transit, vide DRN \_\_\_\_\_ dated \_\_\_\_\_ which were forwarded to the Issuer/RTA vide courier/Registered Post/Speed Post bearing courier consignment no./Registered Post/ Speed Post Receipt no. \_\_\_\_\_ as per the guidelines provided by Securities and Exchange Board of India mentioned against serial no.4 vide its Circular no. SMRDP/Policy/Cir-28/99 dated 23.08.1999.

NOW THIS DEED WITNESSETH in consideration of the Issuer/RTA having agreed to dematerialize the said securities on the strength of the representation hereinabove made by the Depository Participant, the Depository Participant agrees to indemnify and keep indemnified the Issuer/RTA against claims and demands that may be made of or against the Issuer/RTA for all losses or damages and all action, suit, litigations or proceedings (including all costs, charges, expenses relating thereto) that the Issuer/RTA may incur or suffer on account of any person in whose hands the said securities may have fallen (including any subsequent transferee or transferees from such person whether for valuable consideration or not) acquiring any right and/or any interest and/or any benefit and/or equivalent number of securities whether on transfer or dematerialisation or rematerialisation or otherwise howsoever.

IN WITNESS WHERE the Depository Participant has put his hands and seal the day, month and year first hereinabove mentioned.

SIGNED AND DELIVERED by  
The within named Depository Participant }  
}

In the presence of:  
\_\_\_\_\_ }  
}

---

[Not required. Same form is available as Annexure 7.1]

**TRANSMISSION REQUEST FORM**  
**(in case of death of the sole holder)**

**TRANSMISSION-CUM-DEMATERIALIZATION FORM**  
(In case of death of one / more of the joint holders)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
-----------------	--	------	---	---	---	---	---	---	---	---

(Please fill all the details in **Block Letters** in **English**)

To,  
**Depository Participant Name**  
**Address**

Dear Sir / Madam,

I/We, the surviving joint holder(s) request you to dematerialize the enclosed securities in our account as per details given below. The securities were held by me/us jointly with Mr./Mrs./Ms. \_\_\_\_\_, who has expired.

The **Original Death Certificate** / a **copy of the death certificate, duly notarized or attested under seal by a Gazetted Officer** (strike out what is not applicable), is attached herewith, along with a duly-filled and signed DRF and physical share certificates listed below.

I/We request you to advise the Issuer/RTA to process the demat request and credit the securities to the demat account mentioned below:

**DEMAT ACCOUNT NUMBER of surviving BOs:**

DP ID										Client ID							
DRF No.										Date	D	D	M	M	Y	Y	Y

Sr. No.	Name of the Security	ISIN	Quantity to be transmitted

If there are more ISINs to be dematerialized, attach an Annexure, duly signed by the account holders

	1	2
Name(s) of the surviving holder(s)		
Signature(s) of the surviving holder(s)		

===== (Please tear here) =====

**Acknowledgement Receipt**

**Application No.**

**Date: -**

We hereby acknowledge receipt of the following instructions for transmission-cum-dematerialization, as per the details given in the Transmission Form and DRF, from:

**Demat Account number of the surviving BO(s):-**

DP ID									Client ID								
<a href="#">DRF Number</a>								Date	D	D	M	M	Y	Y	Y	Y	

<b>Surviving Holder(s) Name(s) – (strike out what is not applicable):</b>		
<b>First/Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Documents Submitted		

Documents subject to verification.

**Depository Participants Seal & Signature**

**Instruction Form for Purchase Waiver**

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

DP ID										Client ID								
First Holder Name																		

To,  
**Depository Participant Name**  
**Address**

Dear Sir / Madam,

I/We hereby authorize you to accept all credits in my / our Beneficial Owner/s account number given above. The instruction will be irrevocable until and unless otherwise informed to you.

Thanking you,

Yours faithfully,

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

======(Please Tear here)=====

**Acknowledgement Receipt**

Received Waiver for Purchase Transactions instruction from:

DP ID										Client ID								
Name of the Sole / First Holder																		
Name of Second joint Holder																		
Name of Third joint Holder																		

**Depository Participant Seal and Signature**





DP Name Address  
 DP ID and DP SEBI Reg. No.  
 Instruction Slip for Delivery / Receipt  
 (To be filled in duplicate)  
 Delivery  Receipt

Annexure 6.2a  
 [DP Logo]

Serial no: # \_\_\_\_\_

I / We request you to debit / credit my / our account as under: -												Date: -		D	D	M	M	Y	Y	Y	Y		
DPID \$				Client ID \$				First / Sole Holder's Name															
Sr. No.	ISIN				Security Name				QUANTITY				Instruction Reference No. [to be filled by DP]										
	In figures		In words																				
1	I	N																					
2	I	N																					
3	I	N																					
4	I	N																					
5	I	N																					
Total Instructions Issued (In words only) →																							
If transfers from BO (Investor) account to another BO (Investor) account and NOT RELATED to Stock Exchange Transactions: - Please mention consideration amount in Rs. _____ OR Please specify reason (as given below):- • Gift • Transfer between two accounts of same holder • Transfer between family members • Others (explain):-												CMID (Applicable for Early Pay-in and Normal Pay-in)		Execution Date (Not Applicable for Early Pay-in and Normal Pay-in)		D	D	M	M	Y	Y	Y	Y
↓ --: Fill the relevant columns :- ↓																							
Instruction Type →		Account Transfer - With in CDSL (Transaction) ↓				Account Transfer - Outside CDSL (Inter Depository) ↓				Market Trades (Settlements) ↓													
Settlement Details →		BO-BO ↓		BO-CM, CM-BO, CM-CM ↓		BO-BO ↓		BO-CM, CM-BO, CM-CM ↓		Early Pay-in ↓		Normal Pay-in ↓											
Exchange Name →		OPTIONAL				OPTIONAL																	
Settlement / Market Type →		OPTIONAL				OPTIONAL																	
Settlement Number →																							
Counter DP ID / CM BP ID →												NOT APPLICABLE											
Counter Client ID →												NOT APPLICABLE											
Counter BO / CM Name →																							
Counter Settlement Details →		CM-CM ↓		CM-CM ↓		CM-CM ↓		CM-CM ↓															
Exchange Name →		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE											
Settlement / Market Type →		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE											
Settlement Number →		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE		NOT APPLICABLE											
--: Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker :-																							
Signature of First / Sole Holder				Signature of Second Holder				Signature of Third Holder															
↓ --: For DPs office use only :- ↓																							
Internal Ref. No.		Signature Verified By				Transaction Entered By																	

# - Pre-printed, \$ - Pre-printed / Pre-stamped





I / We request you to debit my / our account as under :-										Date :-		D	D	M	M	Y	Y	Y	Y
DPID \$				Client ID \$				First / Sole Holder's Name											
Sr. No.	ISIN		Security Name		QUANTITY		Instruction Reference No. [to be filled by DP]												
					In figures	In words													
1	I	N																	
2	I	N																	
3	I	N																	
4	I	N																	
5	I	N																	
Total Instructions Issued (In words only) →																			

-: Fill the relevant columns :-

Instruction Type	↓ Early Pay-in ↓	↓ Normal Pay-in ↓
Exchange Name		
Settlement / Market Type		
Settlement Number		
CMID →		
Counter DPID →		NOT APPLICABLE
Counter Client ID →		NOT APPLICABLE

-: Blank & Signed Delivery Instruction Slips should not be left with your DP/Broker :-

Signature of First / Sole Holder	Signature of Second Holder	Signature of Third Holder

-: For DPs office use only :-

Internal Ref. No.		Signature Verified By		Transaction Entered By	
-------------------	--	-----------------------	--	------------------------	--

# - Pre-printed, \$ - Pre-printed / Pre-stamped

## Letter to modify / delete instruction slip

To,

**The Depository Participant Name**

**Address**

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

DP ID											Client ID						
First Holder Name																	

I/We request you to modify / delete the on-market (BO confirmation) / auto pay-in instruction.  
The details are as given below –

Settlement ID	CM ID	ISIN	Security Name	Qty (in figures)

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

===== (Please Tear here) =====  
**Acknowledgement Receipt**

Received Instruction to modify / delete the on-market (BO confirmation) / auto pay-in instruction:

DP ID											Client ID						
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Depository Participant Seal and Signature**

**To be printed on the inside back cover of the Delivery Instruction Slip**

In case you have grievances against a listed company or intermediary registered with SEBI, you should first approach the concerned company or intermediary against whom you have grievance. If you are not satisfied with their response, you may approach SEBI or other regulatory bodies. You can approach SEBI for following types of grievances:

<p><b>Listed Companies</b></p> <ul style="list-style-type: none"> <li>• Refund/ Allotment / Bonus / Dividend / Rights / Redemption / Interest</li> <li>• Prelisting offer documents (shares)</li> <li>• Prelisting offer documents (debentures and bonds).</li> <li>• Delisting of Securities</li> <li>• Buyback of Securities</li> <li>• Takeover and Restructuring</li> <li>• Corporate Governance and Listing Conditions</li> </ul>	<p><b>Brokers and stock exchanges</b></p> <p>Stock brokers</p> <p>Sub brokers</p> <p>Portfolio managers</p> <p>Stock exchanges</p>
<p><b>Registrar and Transfer Agents</b></p>	<p><b>Other entities</b></p> <p>Collective Investment Schemes</p> <p>Debenture Trustees</p> <p>Merchant Bankers</p> <p>Bankers to Issue</p> <p>Credit Rating Agencies</p> <p>Custodian of Securities</p> <p>Foreign Institutional Investors</p> <p>Underwriters</p> <p>Venture Capital Funds</p> <p>KYC Registration Agency(KRA)</p> <p>Alternative Investment Fund</p>
<p><b>Mutual Funds</b></p>	
<p><b>Depository and Depository participants</b></p>	
<p><b>Information to SEBI:</b></p> <ul style="list-style-type: none"> <li>• Price Manipulation</li> <li>• Insider trading</li> </ul>	

You can file your complaints online at <http://scores.gov.in> or alternately send your complaints to Office of Investor Assistance and Education of SEBI at Mumbai or Regional Offices at the following addresses:

- Office of Investor Assistance and Education, SEBI Bhavan, Plot No.C4-A, 'G' Block, Bandra Kurla Complex, Bandra (E), Mumbai 400 021 Tel : 022-26449188 / 26449199 (<http://scores.gov.in>)
- SEBI, Northern Regional Office, 5th Floor, Bank of Baroda Building, 16, Sansad Marg, New Delhi - 110 001 Tel : 011- 23724001-05 ([www.sebinro@sebi.gov.in](http://www.sebinro@sebi.gov.in))
- SEBI, Eastern Regional Office, L&T Chambers, 3rd Floor, 16, Camac Street, Kolkata - 700 016 Tel : 033-23023000. ([www.sebiero@sebi.gov.in](http://www.sebiero@sebi.gov.in))
- SEBI, Southern Regional Office, 7th Floor, Overseas Towers, 756-L, Anna Salai, Chennai – 600 002 Tel : 044-24674000 / 24674150 ([www.sebisro@sebi.gov.in](http://www.sebisro@sebi.gov.in))
- SEBI, Ahmedabad Regional, Office Unit No: 002, Ground Floor, SAKAR I, Near Gandhigram Railway Station, Opp. Nehru Bridge Ashram Road, Ahmedabad - 380 009 Tel : 079-26583633-35 ( [www.sebiaro@sebi.gov.in](http://www.sebiaro@sebi.gov.in))

**For more information visit our website - <http://scores.gov.in>**

**Undertaking-cum-Indemnity  
in respect of facsimile instruction for operation of Depository Account**

To  
The Depository Participant

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Sr no.	BO IDs	Names of holder(s)	
1		First Holder	
		Second Holder	
		Third Holder	
2		First Holder	
		Second Holder	
		Third Holder	
3		First Holder	
		Second Holder	
		Third Holder	

I/We

1) \_\_\_\_\_ residing at \_\_\_\_\_

2) \_\_\_\_\_ residing at \_\_\_\_\_

\_\_\_\_\_ and,

3) \_\_\_\_\_ residing at \_\_\_\_\_

execute this UNDERTAKING-CUM-INDEMNITY in favour of \_\_\_\_\_  
\_\_\_\_\_ (a company incorporated and registered under the  
Companies Act, 1956) and having its Registered Office at \_\_\_\_\_  
\_\_\_\_\_ Mumbai - \_\_\_\_\_

hereinafter called "**the DP**" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows:

WHEREAS I/We maintain a Beneficial Owner Account(s) ("the said Account") mentioned above, with the DP at its \_\_\_\_\_ Main / Branch office, located at \_\_\_\_\_  
\_\_\_\_\_, Mumbai. As per the instructions for operation of the said Accounts, the same is allowed to be operated by us or the persons authorized, in that behalf (hereinafter referred to as "**Authorized Person/s**").

AND WHEREAS in the day-to-day business, I am / we are required to give urgent instructions to the DP for operation of the said Account:

WHEREAS the DP has agreed to accept, the original instruction slip, a fax submission thereof signed by the authorised persons to operate the said account under their signatures, subject to the indemnity herein offered by me/us to the DP on the terms and conditions herein mentioned.

NOW IN CONSIDERATION OF THE ABOVE, I/We hereby irrevocably agree, confirm and undertake to the DP as follows:

1. I/We shall transmit the Fax instructions only to the fax number informed/provided to us by the DP.
2. The Fax Submission shall be signed by the Authorised Person/s mentioned in the List of Authorised signatories submitted by me/us in the account opening form on behalf of me/us and their signatures shall be in the same manner and way as has been informed to the DP by me/us and the DP is hereby requested and authorised, (but is not obliged to) rely upon and act, in accordance with such Fax Submission which is signed or bonafide believed by the DP to have been signed, by the Authorised Person/s.
3. The DP is requested by me/us and shall be entitled to treat any Fax Submission as fully and duly authorised by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax Submission, in good faith as appropriate, regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax Submission.
4. I/We shall upon making any Telefax Submission hereunder, deliver to the DP without any delay within two working days, the original hard copy of the Fax Submission (the Hardcopy) signed by the Authorised Person/s as aforesaid. Each Hardcopy shall bear the following words on the top of the instruction slip -  
"This is a Hardcopy of Fax Submission to you, transmitted on \_\_\_\_\_ (day) of \_\_\_\_\_ (month), \_\_\_\_\_ (year).

5. The DP may, but shall not be obliged to, await receipt of the Hard copy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy of the fax transmission sent by me/us shall be the conclusive evidence of instruction to the DP for having acted on such instructions and I/We hereby agree and acknowledge the same”.
6. I / We hereby agree that in case the DP does not receive the hard copy of the instruction within 2 working days, the DP may discontinue the said facility. In such cases the DP will do so with immediate effect after informing me orally / in writing / by fax. I / We undertake that I / we shall not hold the DP liable for any loss to me / us in case the DP does not act on fax instruction received by the DP in such a case.
7. The DP shall not be required to confirm (whether orally, in writing or otherwise) any fax submission or (verify the identity of the Authorised Person/s or his/her/their signature/s making or giving the fax submission or purporting to do so.
8. The DP shall be under no duty to set and/or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, the DP shall not be obliged to strictly adopt or comply with the same in any or every instance.
9. The DP shall not be liable for any losses or damages which I/we may suffer as a consequence of the DP acting in accordance with or in reliance upon, any Fax Submission or otherwise pursuant to the authority conferred herein, upon the DP.
10. I/We shall indemnify the DP and CDSL and keep them indemnified and save harmless, at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by the DP or required to be incurred, suffered or paid by the DP and also against all demands, actions, suit proceedings made, filed / instituted against the DP, in connection with or arising out of or in relation to or as a consequence of:
  - i. The DP acting pursuant to, in accordance with or relying upon, any Fax Submission or otherwise pursuant to the request and authority conferred herein; and/or;
  - ii. The DP acting pursuant to in accordance with or relying upon any Fax Submission received by the DP which it believes in good faith to be such a Fax Submission; and / or;



- iii. Any unauthorized or fraudulent Fax Submission to the DP. PROVIDED that this indemnity shall not be available to the DP, if the liabilities for which the DP seeks indemnification hereunder, arises directly and completely from its own negligence or willful default.
  - iv. The DP not having acted on the fax submission due to non-receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.
  - v. The DP not having acted on any fax submission sent by me / us on a number other than the number mentioned by the DP for the purpose of fax transmission.
11. The DP shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I/we shall not hold the DP liable for any loss consequent to non-availability of the said fax facility.
12. I/We acknowledge and confirm that I am/we are aware that by the very nature of telecommunications services, the Fax transmissions may not be received properly and may be clearly legible. I / We agree to assume and bear all the risks involved in respect of such errors and misunderstanding and the DP shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising there from.
13. This indemnity is without prejudice to the DP's other rights, privileges, powers and remedies in law and the DP may delay enforcing its rights without at any time losing them and any waiver of a right by the DP hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.
14. The DP may stop/terminate this facility given to me / us by giving seven day prior written notice to me/us. However, any such termination shall not affect anything done or any rights or liabilities accrued or incurred prior to the termination and all the above indemnities given by me/us to the DP hereunder shall survive any such termination. However, in case of termination as mentioned in point 6 above, no such notice need to be given by the DP.

The Provisions relating to arbitration contained in the Rights and Obligations document shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the fax Transmission by the DP.

I/We specifically agree and confirm that regardless of the place from which the fax transmission in question may have been transmitted to the DP any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the exclusive jurisdiction of the Courts of Mumbai (India) alone.

Dated at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ , \_\_\_\_\_

Given by:

1. Signature  
Name  
Witnessed

2. Signature  
Name  
Witnessed

3. Signature  
Name  
Witnessed



3. In consideration of registration of the aforesaid securities in the client account of Mr / Mrs. \_\_\_\_\_ under DP ID \_\_\_\_\_ Client ID \_\_\_\_\_ at my request, I/We hereby renounce all my/our rights existing as well as those that may accrue to me/us in future in respect of the aforesaid securities.

**Signed in the presence of**

\_\_\_\_\_  
**Bank Manager**

\_\_\_\_\_  
**Signature of the legal heir**

**Full Name and Address of Bank Manager:**

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

**Note for all legal heirs/successors who are applicants / non-applicants:**

Only one Transmission Request Form is to be submitted by claimants/non-claimants to the DP of the deceased BO for the transmission of securities wherein the intentions of the legal heirs/successors are collectively stipulated.

===== (Please tear here) =====  
**Acknowledgement Receipt**

**Application No.**

**Date: -**

We hereby acknowledge receipt of the instructions for transmission of securities from the deceased BO's account to the account of the Nominee(s) / Successor / Guardian of the successor or nominee(s) (in case of Minor), as per details given on the transmission form.

Account number of the deceased BO

DP ID										Client ID								
-------	--	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--	--

Successor BO Name(s)		
First/Sole Holder	Second Holder	Third Holder
Documents Submitted		

Subject to verification.

**Depository Participants Seal & Signature**



### Letter of Indemnity

To,  
**Depository Participant Name**  
**Address**

Dear Sirs,

**Sub: Transmission of securities standing in the name of  
Late Mr./Mrs. \_\_\_\_\_**

I/We hereby inform you that Mr./Mrs. \_\_\_\_\_ the deceased,  
was holding a Client account no. \_\_\_\_\_ with \_\_\_\_\_ a  
Depository Participant having DP ID \_\_\_\_\_. The said deceased BO was holding the  
following securities:

ISIN	Name of Company	Number of securities

The said deceased died intestate without leaving a Will on the \_\_\_\_ day of \_\_\_\_\_.

We further inform you that he/she left behind him/her only surviving heirs and next of kin, the following persons according to the Law of Intestate Succession application to him/her by which he/she was governed at the time of his/her death.

- (a) \_\_\_\_\_
- (b) \_\_\_\_\_
- (c) \_\_\_\_\_

We have, therefore, approached you with a request to transfer the aforesaid securities in the name of the undersigned Mr. / Mrs. / Ms. \_\_\_\_\_ on my/our behalf without insisting on the production of a Succession Certificate or an Order of the Court of competent jurisdiction and you have kindly agreed to do so on my/our executing an indemnity as is herein contained and on relying on the information herein given by us believing the same to be true.

In consideration, therefore, of your having at our request agreed to transfer securities to the name of the undersigned \_\_\_\_\_, I / we hereby jointly and severally agree and undertake to indemnify and keep indemnified, saved, defended, harmless you and your successors and assigns for all time hereafter against all losses, costs, claims, actions, demands, risks, charges, expenses, damages, etc., whatsoever which you may suffer and/or incur by reason of your, at my/our request, transferring the said securities as herein above mentioned, to the undersigned \_\_\_\_\_ without insisting on production of a Succession Certificate or an Order of the Court of competent jurisdiction.

IN WITNESS WHEREOF THE said \_\_\_\_\_ have here unto set their  
[Name(s) of applicant(s)]  
respective hands and seals this \_\_\_\_\_ day of \_\_\_\_\_ of \_\_\_\_\_.

Signed and delivered by the said applicant(s)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature(s) of applicant(s)

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

Place: \_\_\_\_\_ **(Signature of Magistrate/Notary)**

**Full Name and Address of Magistrate /Notary:**

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

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

PIN \_\_\_\_\_

Registration No : \_\_\_\_\_

Use space below to affix:

<b>Notarial / Court Fee Stamp</b>	<b><u>Official Seal of Magistrate / Notary</u></b>
-----------------------------------	--

**Note:** This indemnity is to be executed in the presence of a first class or stipendiary Magistrate / Public notary / Judicial.



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[ref: Communiqué no. **CDSL/OPS/DP/1685** dated August 18, 2009]

**Affidavit**

I, \_\_\_\_\_ son/daughter/spouse of \_\_\_\_\_ residing at \_\_\_\_\_ do hereby solemnly affirm an oath and state as under: -

1. That Mr. / Mrs. \_\_\_\_\_ the deceased was holding a Client Account No. \_\_\_\_\_ with \_\_\_\_\_ a Depository Participant having DP ID \_\_\_\_\_. The said deceased was holding the following securities:

ISIN	Name of Company	No. of securities

2. That the deceased had died intestate on \_\_\_\_\_ at \_\_\_\_\_.
3. That the following are the only legal heir(s) of late Mr. / Mrs. \_\_\_\_\_.

	Name	Address	Age	Relationship with the deceased
1				
2				
3				
4				

4. That out of aforesaid legal heirs Master / Kumari \_\_\_\_\_ aged \_\_\_\_\_ years is a minor and he / she is being represented by his / her father/mother and natural guardian Mr. / Mrs. \_\_\_\_\_.
5. That all the legal heirs of my deceased \_\_\_\_\_ have applied to \_\_\_\_\_ (DP name) to register the aforesaid securities in my/our individual/joint beneficial owner account and have executed a Letter of Indemnity in favour of the Participant/CDSL holding the Participant / CDSL indemnified against any loss, cost, expenses or damages which may be caused to them in consequence of any claim which may be made by or on behalf of any person claiming any interest in the said shares.

\_\_\_\_\_  
DEPONENT

**VERIFICATION**

I hereby solemnly affirm and say that what is stated herein above is true to my knowledge and nothing has been concealed therein and that I am competent to contract and entitled to rights and benefits of the above securities.

Solemnly affirmed at \_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_ of \_\_\_\_\_.

**Full Name and Address of Magistrate / Notary**

Signed in the presence of

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

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

City \_\_\_\_\_ Pin \_\_\_\_\_

Registration No : \_\_\_\_\_

\_\_\_\_\_  
(Signature of Magistrate / Notary)

Use space below to affix:

<b>Notarial / Court Fee Stamps</b>	<b>Official Seal of Magistrate/Notary</b>

- Notes:**
1. This affidavit is to be executed in the presence of a first class or stipendiary Magistrate / Public notary / Judicial.
  2. Each deponent should sign this affidavit separately.



[ref: Communiqué no. **CDSL/OPS/DP/1685** dated August 18, 2009]



**Unpledge Request Form (URF)**
 Unpledge by Pledgor     Unpledge by pledgee

Depository Participant Name /Address/ DP ID
---

Please fill all the details in **Block Letters** in English

URF No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

I/We request you to set up an **Unpledge** request on my / our behalf. I / We have read and understood the Depositories Act, SEBI Regulations and the Bye Laws in relation to unpledge of securities and I / We agree to abide by and be bound by the Act, Regulations and the Bye Laws t as are in force from time to time for such unpledge requests.

Pledgor's Details	
DP ID	<input style="width:85%;" type="text"/>
Client ID	<input style="width:85%;" type="text"/>
Pledgor's Name	1. <input style="width:95%;" type="text"/>
	2. <input style="width:95%;" type="text"/>
	3. <input style="width:95%;" type="text"/>

Pledgee's Details	
DP ID	<input style="width:85%;" type="text"/>
Client ID	<input style="width:85%;" type="text"/>
Pledgee's Name	1. <input style="width:95%;" type="text"/>
	2. <input style="width:95%;" type="text"/>
	3. <input style="width:95%;" type="text"/>

Date of Unpledging	D	D	M	M	Y	Y	Y	Y
--------------------	---	---	---	---	---	---	---	---

Sr. No	PSN	ISIN	Name of the Security	Total Quantity pledged	Quantity to be unpledged	Accepted / rejected by Pledgee

Attach an annexure duly signed by the account holder(s), if the space above is insufficient.

<b>The unpledge request is being set up for the reasons mentioned hereunder: -</b>

I / We declare that the above particulars given by me/ us above are true to the best of my/ our knowledge.

<b>To be filled and signed in case of Set-up of Unpledge by Pledgee BO</b>
--

Signature of the Pledgee		
First/ Sole Applicant	Second Applicant	Third Applicant

<b>To be filled and signed in case of Set-up of unpledge by Pledgor BO</b>
--

Signature of the Pledgor		
First / Sole Applicant	Second Applicant	Third Applicant

Depository Participant seal and signature

**Invocation Request Form (IRF)****Depository Participant Name/Address**Please fill all the details in **Block Letters** in English. To be filled by the pledgee.

IRF No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

I/We request you to set up a Invocation request on my / our behalf. I / We have read and understood the Depositories Act, SEBI Regulations and the Bye Laws in relation to Invocation of securities and I / We agree to abide by and be bound by the Act, Regulations and the Bye Laws as are in force from time to time for such Invocation.

Pledgor's Details																					
DP ID												Client ID									
Pledgor's Name	1.																				
	2.																				
	3.																				

Pledgee's Details																					
DP ID												Client ID									
Pledgee's Name	1.																				
	2.																				
	3.																				

Date of Invocation	D	D	M	M	Y	Y	Y	Y
--------------------	---	---	---	---	---	---	---	---

Details of Securities to be invoked					
Sr. No	PSN	ISIN	Name of the Security	Total Quantity Pledged	Quantity to be invoked

Attach an annexure duly signed by the Pledgee(s), if the space above is insufficient.

The invocation request is being set up for the reasons mentioned hereunder:-

Signature of the Pledgee		
Sole / First Applicant	Second Applicant	Third Applicant

Depository Participant Seal and Signature



**Rematerialization Request Form [RRF]**

<b>Depository Participant Name / Address</b>
--

(To be filled up by the Depository Participant)

RRN		Date	D	D	M	M	Y	Y	Y	Y
-----	--	------	---	---	---	---	---	---	---	---

Please fill all the details in **Block Letters** in English. (In case of Lock-in Securities, fill up separate RRF for Lock-in securities having different Lock-in expiry dates).

RRF No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

I/We request you to arrange to rematerialize the securities mentioned hereunder held in our demat account.

DP ID						Client ID									
Name of the Company															
ISIN		I	N												
Type of Security		<input type="checkbox"/> Equity <input type="checkbox"/> Debentures <input type="checkbox"/> Bonds <input type="checkbox"/> Units <input type="checkbox"/> Other (Specify)													
Number of Securities to Be Rematerialized		In figures													
		In Words													
Type of Lot Requested		<input type="checkbox"/> Market Lot. <input type="checkbox"/> Jumbo Lot. <b>(Specify Denomination)</b>													
Type of Securities		<input type="checkbox"/> Free <input type="checkbox"/> Lock-in													
Lock-in Reason															
Lock-in Expiry Date		D	D	M	M	Y	Y	Y	Y						
Documents enclosed															

**Account Holder's Details**

Name of the First Holder	
Father / Husband Name of First Holder	
Name of the Second Holder	
Name of the Third Holder	
Occupation of the First Holder	
Details of Existing Folio (if any)	

**\* In case of remat for repurchase, Form provided by the respective company should be attached along with the RRF**

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature as per RTA Records			
Signature as per DP Records			

**Participant Authorization – DP to RTA**

Received the above mentioned securities for Rematerialization, from:

DP ID										Client ID								
Name of the Sole / First Holder																		
ISIN	I	N								Date	D	D	M	M	Y	Y	Y	Y

The Rematerialization Request form has been verified with the details of the Beneficial Owner's account and it is certified that the form is in order. The account has sufficient balances to allow the Rematerialization as requested. It is also certified that the details of beneficial owners have been verified and found in order.

**Depository Participant Seal and Signature**

======(Please Tear Here)=====

**Acknowledgement Receipt**

Received Rematerialization request form as per details given below :

RRF No.										Date	D	D	M	M	Y	Y	Y	Y
DP ID										Client ID								
Name of the Sole / First Holder																		
Name of Second joint Holder																		
Name of Third joint Holder																		
ISIN	I	N								Quantity								
Name of the Company / Security																		
Type of Security																		

**Depository Participant Seal and Signature**



**Account Closure Request Form**

Application No.		Date	D	D	M	M	Y	Y	Y	Y	
Closure Initiated by	<input type="checkbox"/> BO	<input type="checkbox"/> DP	<input type="checkbox"/> CDSL								

(To be filled by the BO (in case of BO-initiated closure). Please fill all the details in **Block Letters** in English)

To,

**Depository Participant Name  
Address**

Dear Sir / Madam,

I / We the Sole Holder / Joint Holders / Guardian (in case of Minor) / Clearing Member request you to close my / our account with you from the date of this application. The details of my/our account are given below:

Account Holder's Details											
DP ID										Client ID	
Name of the First / Sole Holder											
Name of the Second Holder											
Name of the Third Holder											
Address for Correspondence											
City						State		PIN			
Details of remaining security balances in the account (if any)											
Reasons for Closing the Account											
Balance remaining in the account (if any) to be :											
<input type="checkbox"/> partly rematerialised and partly transferred.						<input type="checkbox"/> Rematerialised					
<input type="checkbox"/> Transferred to another account (Number given below)						<input type="checkbox"/> Not applicable					
DP ID						Client ID					
Balance present in account for (To be filled by DP, if applicable)						<input type="checkbox"/> Ear - marked		<input type="checkbox"/> Pledged			
						<input type="checkbox"/> Pending for Dematerialisation		<input type="checkbox"/> Frozen			
						<input type="checkbox"/> Pending for Rematerialisation		<input type="checkbox"/> Lock-in			

**DECLARATION: In case of Account Closure due to SHIFTING OF ACCOUNT:**

I/We declare and confirm that all the transactions in my/our demat account are true/ authentic.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature *			

\*If DP or CDSL initiates account closure, Signature(s) of account holder(s) not required.

===== (Please Tear Here) =====

**Acknowledgement Receipt****Application No.****Date :-**

We hereby acknowledge the receipt of the your instruction for Closing the following Account subject to verification: -

DP ID						Client ID					
Name of the First / Sole Holder											
Name of the Second Holder											
Name of the Third Holder											
Reason for Closure											

**Depository Participant Seal and Signature****Instructions to Account Holder(s)**

- o Submit a duly-filled RRF if the balances are to be rematerialized.
- o Submit a duly-filled Delivery Instruction Slip [DIS] (off market instruction slip) if the balances are to be transferred to another Account. This requirement is not applicable in the case of "**SHIFTING OF ACCOUNT**".

Date :

To,  
**Company Name and Address**

Dear Sir / Madam,

**Sub : Rejection of pending demat request and account closure**

I / We have submitted the certificates of your company \_\_\_\_\_ having ISIN \_\_\_\_\_ for dematerialisation through Depository Participant \_\_\_\_\_(name) having DP ID \_\_\_\_\_. Details of my/ our demat request(s) are given below –

Demat Request Form no. (DRF no.)	Demat Request no. (DRN)	Date of setup of DRN	Certificate no(s).		Distinctive no(s).		Quantity
			From	To	From	To	

The aforesaid demat request(s) is / are pending for disposal for a long time. As I / we wish to close my / our BO account no. \_\_\_\_\_ and hold the above mentioned securities in physical form, I / We request you to reject the pending demat request and send physical certificates directly to me / us with intimation to my / our DP.

Yours faithfully,

Name and Signature of 1<sup>st</sup> holder : \_\_\_\_\_

Name and Signature of 2<sup>nd</sup> holder : \_\_\_\_\_

Name and Signature of 3<sup>rd</sup> holder : \_\_\_\_\_

**Encl : Letter giving details of the demat request, duly signed and stamped by DP.**

cc : **1. DP name and address**  
**2. Electronic connectivity RTA name and address**

To,

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

**DP Name**  
**Address**

Dear Sir / Madam,

**Sub: Rejection of pending demat request and account closure**

I/We had submitted share certificates / securities for dematerialisation through you, details of which are as follows:-

**Issuer (Company) Name** : \_\_\_\_\_**ISIN** : \_\_\_\_\_

Demat Request Form no. (DRF no.)	Demat Request no. (DRN)	Date of setup of DRN	Certificate no(s).		Distinctive no(s).		Quantity
			From	To	From	To	

The aforesaid demat request(s) is/are pending for disposal for a long time. As I/we wish to close my/our BO account no. \_\_\_\_\_, I/We request you to **reject** the pending demat request(s) which have been set up in the system.

I/We wish to inform you that: (*tick the relevant box*):-

- the share certificates (securities) pertaining to these demat requests are in my/our possession.
- the share certificates (securities) pertaining to these demat requests are **not** in my/our possession. However, I/we undertake to take up the matter directly with the concerned Issuer and/or its RTA.

Yours faithfully,

	First Holder	Second Holder	Third Holder
<b>Name</b>			
<b>Signature</b>			

[on the DP's letterhead]

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

To:

**Central Depository Services (India) Limited**16<sup>th</sup> Floor, P J Towers, Dalal Street

Fort, Mumbai – 400 001

Dear Sir / Madam,

**Sub: Rejection of pending demat request and account closure**

In line with CDSL's DP Operating Instructions regarding account closure, we have received a request from BO(s), having BOID \_\_\_\_\_ requesting the cancellation of long-pending demat request(s) and the subsequent closure of the said demat account. The said request letter is attached herewith.

We request you to arrange to **cancel** the following demat requests [DRNs] in the CDSL system as they are pending for more than **60 days**. The details of the BO(s) i.e. account number, name(s) and signature(s), as mentioned in the attached letter, have been duly verified by us and found to be in order.

Sr. No.	Demat Request No.	Issuer Name	ISIN	Quantity
1				
2				

The BO(s) has/have confirmed that the securities / share certificates are in their possession and if not, they have undertaken to take up the matter directly with the concerned Issuer/RTA.

Thanking you,

Yours faithfully,  
for [DP Name]\_\_\_\_\_  
[Authorized Signatory]

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

Designation: \_\_\_\_\_

Encl: Letter from BO(s)

## PENALTY STRUCTURE FOR DPs

Sr. No	Nature of Non – Compliance	Penal Amount in ₹ / Action	Revised Changes(₹)
<b>I</b>	<b>Operational deviations</b>		
1	a) Accounts operated with an unsigned agreement / without acknowledgement of Rights and Obligations document. b) Account opened without obtaining adequate proof of identity or any other document prescribed under guidelines of CDSL / SEBI / PMLA c) Account opened without obtaining adequate proof of address as prescribed under guidelines of CDSL / SEBI / PMLA d) Adequate proof of address not collected for change of address as prescribed under guidelines of CDSL / SEBI / PMLA e) Record of in-person verification not maintained as prescribed under guidelines of CDSL / SEBI / PMLA	₹ 2,500/- per account. If such deviation is observed in two consecutive inspections, penalty would be ₹5,000/- per account. If such deviation is observed in three consecutive inspections, matter would be referred to DAC. Depository to refer the matter to DAC if total penalty imposed in one inspection under this head exceeds ₹ 50,000/-.	
2	Supplementary agreement executed or undertaking/letter obtained or any modification made in any document which has clauses contradictory to CDSL prescribed agreement or Rights and Obligations document or Power of attorney executed in favour of DP in contradiction to CDSL prescribed guidelines	₹ 1,000/- per occasion	
3	Accounts opened in the name of Partnership firms / proprietary concern / such other entities not entitled to hold securities in its name as prescribed under guidelines of CDSL / SEBI / PMLA	₹ 1,000/- per account	
4	Nomination not done as per prescribed procedure	₹ 250/- per account	
5	Any type of transaction not executed as per the procedure prescribed by Depository such as change in bank details, change in signature, transmission, account closure, freeze/unfreeze, pledge, remat etc. as prescribed under guidelines of CDSL / SEBI / PMLA	₹ 500/- per account	
6	Data entry errors / omission which may cause inconvenience and/or loss to the BO/ system / Depository	₹ 50/- per account	
7	Correct PAN details are not obtained from the BOs and the account is not frozen for debit as prescribed under guidelines of CDSL / SEBI / PMLA	₹ 500/- per account	
8	Incorrect entry of PAN details in CDAS as prescribed under guidelines of CDSL / SEBI / PMLA	₹ 50/- per account	
9	Invalid/ factually incorrect/ meaningless data entered in demographic details.	₹ 500/- per account	
10	Delay in dispatch of demat requests beyond 7 working day after receipt of Demat Request Form and certificates from the BO.	₹ 250/- per occasion	
11	Sending securities for dematerialization to Registrar & Transfer Agents / Issuers without defacing and mutilating certificates.	₹ 100/- per occasion	
12	No/inadequate control over issuance and/or acceptance of instruction slips.	₹ 2,500/- per occasion. If such deviation is observed in two consecutive inspections, penalty would be ₹ 5,000/-. If such deviation is observed in three consecutive inspections, matter would be referred to DAC.	
13	BO account debited without receiving proper authorization as prescribed under guidelines of CDSL / SEBI.	₹ 2,500/- per account. If such deviation is observed in two consecutive inspections, penalty would be ₹ 5,000/- per account. If such deviation is observed in three consecutive inspections, matter would be referred to DAC. Depository to refer the matter to DAC if total penalty imposed in one inspection under this head exceeds ₹ 50,000/-  The penalty levied above will be in addition to restoration of securities in case of BOs' dispute.	
14	Instruction of the BO not executed or erroneously entered by DP.	₹ 250/- per account	
15	Fax indemnity not executed with the BOs for the instructions accepted on fax and/or original instruction not collected within three working days from the date of receipt of the fax.	₹ 500/- per account	



Sr. No	Nature of Non – Compliance	Penal Amount in ₹ / Action	Revised Changes(₹)
16	Transaction statement not being sent to BOs as per requirements or discrepancy observed in the transaction statement sent to BOs.	₹ 2000/- per occasion	
17	Change in office address and / or investor relations officers/compliance officers not intimated to Depository.	₹ 250/- per occasion	
18	Forms used are not in conformity with the prescribed format.	₹ 100/- per occasion	
19	Termination / closing of franchisee / branch services contrary to CDSL instructions.	₹ 500/- per occasion	
20	Registration of BOs to easi/ easiest without obtaining registration forms/Registration of Trusted accounts at easiest without obtaining letter in the given format from trusted account holders	₹ 500/- per account	
21	Internal Audit Report &/ Concurrent Audit Report not submitted in the prescribed format within stipulated time period.	₹ 1,000/- per occasion plus additional ₹ 500/- for any delay per fortnight  ₹2000/- per occasion plus additional ₹1000 for any delay per fortnight if repeated delay found in consecutive period.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
22	Internal audit report/ concurrent audit report submitted without inclusion of management comments for deviations noted by auditors or not providing compliance duly certified by auditors on the observations made by the Depository	₹ 1,000/- per occasion plus additional ₹ 500/- for any delay per fortnight till the submission of revised report	
23	Non-submission of net worth certificate based on the audited annual accounts by the DPs ( as specified in the Bye-Laws) in the prescribed format for 31st March within prescribed time limit	₹ 2,500/- per occasion plus additional ₹1,000 for any delay per fortnight.  ₹5000/- per occasion plus additional ₹2000/- for any delay per fortnight if repeated delay found in consecutive period.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
24	Non-submission of annual financial statement within the prescribed time limit.	₹ 1,000/- per occasion plus additional ₹ 500/- for any delay per fortnight  ₹2000/- per occasion plus additional ₹1000/- for any delay per fortnight if repeated delay found in consecutive period.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
25	Non filing of information sought by depository either periodically or specifically through communiqués / letters etc.	₹ 250 per occasion/-	
26	BO Grievances (except disputes /court cases) not redressed within 30 days	₹ 250/- per grievance plus additional ₹100/- for any further delay per month. Delay beyond six months will be reported to the DAC	
27	Non-submission of monthly report of BOs' Complaints ( <b>BOG report</b> ) as required under Bye Law 5.3.5.4 (latest by 10th of the following month).	₹ 500/- per month  ₹ 1000/- per month if repeated delay found in consecutive month.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
28	Compliance not reported by DP within 60 days from the date of communication by depository with respect to deviations observed during the inspections.	Matter to be referred to DAC	
29	a) In – person verification carried out by any person other than as permitted by SEBI / Depositories. b) Carrying out function of verification of delivery instruction slips through franchisees. c) Dispatch of periodic transaction statements by Participants through its service centre (branch as well as franchisees) other than one which is directly connected to the Depository or through its centralised processing unit under the supervision of its head office.	Matter to be referred to Disciplinary Action Committee.	
30	Depository services are offered through service centres without the approval of the Depository.	₹ 2,500/- per occasion	

Sr. No	Nature of Non – Compliance	Penal Amount in ₹ / Action	Revised Changes(₹)
31	Anti Money Laundering (AML) policy not framed as required under PMLA and not intimated to FIU-IND	₹ 2,500/- per occasion	
32	Non appointment of Principal officer/Non intimation of change of Principal Officer details to FIU – IND	₹ 2,500/- per occasion	
33	Suspicious Transaction Register not being maintained as prescribed by CDSL.	₹ 2,500/- per occasion	
34	System of maintaining documents pertaining to depository operations not satisfactory.	₹ 1,000/- per occasion	
35	Non- Submission of data for risk based supervision in Risk Assessment Template (RAT) for half year ending March 31st by April 30th and half year ending September 30th by October 31st	₹1000/- per occasion Repeated delay: ₹2000/- per occasion if repeated delay found in consecutive period.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
36	Failure to co-operate with the Depository for conducting inspection by not submitting all the information/records sought within 45 days from the due date specified in the letter of intimation.	Would be referred to DAC	
37	Data submitted in Internal Audit Report, Concurrent Audit report, Risk Assessment Template (RAT) for Risk based supervision, Networth certificate, Annual Financial Statements, Half year Compliance Certificate of Investor Grievance Report is found to be false/incorrect.	₹ 500/- per occasion. ₹1000/- per occasion, if same deviation is observed for consecutive period.  If same deviation is observed for three consecutive periods, matter would be referred to Disciplinary Action Committee.	
38	<b>Failure to furnish half yearly compliance certificate/report to Depository for half year ending June 30th by July 30th and half year ending December 31st by January 31st.</b>	<b>Would be referred to DAC</b>	<b>Restraint on new account opening if 30 days have elapsed after stipulated time period for submission of the compliance certificate. Matter to be referred to Disciplinary Action Committee if the delay is beyond 60 days from stipulated time period.</b>
II	<b>System related deviations</b>		
39	Using the CDAS for any other purpose or loading any other software or alteration of parameters / configuration/ software other than prescribed system software found loaded in the system.	₹ 5,000/- per occasion	
40	Not upgrading the software and/or hardware within the prescribed time limit / not complying with pre-requisite or post-requisite of upgradation.	₹ 5,000/- per occasion plus actual cost of travel of CDSL official/s and/or other person/s on behalf of CDSL, if any, for this purpose.	
41	Configuration of CDAS not as per CDSL requirements.	₹ 5,000/- per occasion	
42	CDAS is connected to WAN without permission of relevant authorities.	₹ 5,000/- per occasion	
43	Anti Virus Software not loaded/enabled/upgraded on server and/or client machine(s).	₹ 500/- per occasion	
44	Not taking back up daily and / or deviation in procedure of taking back up	₹ 100/- per occasion	
45	'Variable access rights' scheme suggested by Depository not implemented / not implemented properly.	₹ 250/- per occasion	
46	Erroneously uploading data files into CDSL system for processing of any type of transaction.	₹ 500/- per account	
47	Erroneous declaration of EOD by DP	₹ 500/- per occasion	
48	Physical access to client machine and server is easily available to unauthorised persons	₹ 100/- per occasion	

Sr. No	Nature of Non – Compliance	Penal Amount in ₹ / Action	Revised Changes(₹)
49	Delivery Instruction Slip (DIS) not scanned and uploaded in system provided by Depositories.	New Point	<p>a) If the deviation is observed in the first month - penalty of ₹.100 per DIS to be imposed with a maximum cap of ₹.10,000/-</p> <p>b) If the deviation is observed in the Second consecutive month, a penalty of ₹.150 per DIS to be imposed with a maximum cap of ₹15,000/-.</p> <p>c) If total monetary penalty imposed under this head is more or equal to ₹.50,000 during one financial year, matter would be referred to Disciplinary Action Committee (DAC).</p>
<p>If the total monetary penalty levied on a particular DP in last three years exceed ₹.1,00,000/-, the matter would be referred to Disciplinary Action Committee.</p>			
<p><sup>5</sup>Reference Communique no. CDSL/OPS/DP/POLCY/2017/271 dated June 01, 2017</p>			

**Freeze / Unfreeze Request Form****Depository Participant Name /Address**Please fill all the details in **Block Letters** in English

Ref No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

<input type="checkbox"/> Freeze	<input type="checkbox"/> BO Account	<input type="checkbox"/> BO ISIN (given ISIN)	Freeze ID (system generated, to entered DP If BO account is frozen)	
<input type="checkbox"/> Unfreeze				

**Account Details**

DP ID										Client ID							
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Details of Securities. (To be entered for BO-ISIN freeze)**

Sr. no.	ISIN	Name of the security	Quantity For Partial Freeze	Freeze ID (To be entered by DP)

Attach an annexure duly signed by the account holder(s), if the space above is insufficient.

Frozen For	<input type="checkbox"/> Debit	<input type="checkbox"/> Credit	<input type="checkbox"/> Both					
Activation Type	<input type="checkbox"/> Current	<input type="checkbox"/> Future						
Freeze Activation Date *	D	D	M	M	Y	Y	Y	Y
Freeze Expiry Date	D	D	M	M	Y	Y	Y	Y
Reason For Freeze								
Freeze Remarks								

\* To be entered for future dated freeze.

I / we declare that the particulars given by me/ us above are true to the best of my/ our knowledge.

**Name & Signature of the Account Holder(s)**

	First/ Sole Holder	Second Holder	Third Holder
<b>NAME</b>			
<b>SIGNATURE</b>			

===== (Please Tear Here) =====

**Acknowledgement Receipt**

Received Freeze / Unfreeze request from:

DP ID										Client ID							
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Depository Participant Seal and Signature**

**Form No. 1**

**Arbitration Application Form**

In the matter of Arbitration under the Bye Laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

From,

\_\_\_\_\_  
\_\_\_\_\_

To,  
The Secretary  
Arbitration Committee  
Central Depository Services (India) Limited

Sir,

As claims, differences and disputes (whether admitted or not), within the meaning of the Bye-laws read with the Agreement entered with the Depository Participant and Operating Instructions of the Central Depository Services (India) Limited have arisen and are now between me / us and \_\_\_\_\_ the Respondent/s above-named, I/We hereby apply for adjudication of the same by Arbitration as provided in the said Bye-laws read with the Agreement and Operating Instructions.

I/We enclose:

- i) duly completed Notice (Form No. 2) in triplicate proposing the names of three arbitrators and calling upon the Respondent(s) above mentioned to consent to appointment of any one of them;
- ii) Statement of the case together with Statement(s) of accounts in triplicate, and
- iii) A sum of ₹ \_\_\_\_\_ being the Application fee, ₹ \_\_\_\_\_, towards Administration fees, ₹ \_\_\_\_\_ towards Arbitration fee, ₹ \_\_\_\_\_ for the first hearing and deposit of ₹ \_\_\_\_\_ towards the Arbitrators fees and the cost of stamp paper for the Award.

I/We enclose copies of all the supporting documents and papers relating to the reference in my / our possession as per the list annexed and/or undertake to produce such documents which are not in my possession in due course.

I /We undertake to produce original documents when called upon to produce the same.

**Note: In case of a non-production of any of the above documents, reasons for the same shall be mentioned.**

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_\_.

Yours faithfully,

**(Signature of Claimant(s))**



**FORM NO. 2A**

**Consent of the Arbitrator**

In the matter of  
Arbitration under the Bye-laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

To,  
The Secretary  
Arbitration Committee  
Central Depository Services (India) Limited

WHEREAS it is provided in the Bye Laws, Agreement and Operating Instructions of CDSL that all claims, differences and disputes (whether admitted or not) arising out of or in relation to dealings arising out of or in relation to dealings, transactions and contracts made subject to the said Bye Laws, Agreement and Operating Instructions or with reference to anything incidental thereto or in pursuance thereof or relating to their construction, fulfillment or validity shall be referred to Arbitration as provided in the said Bye Laws, Agreement and Operating Instructions.

We hereby accord our consent and declare that we are not in any way interested or concerned either in business dealings or otherwise with the Claimant/s or the Respondent/s. We also declare that we are eligible to be appointed as Arbitrator in these presents. We further declare that we possess the qualifications prescribed to act as an Arbitrator under the Bye Laws, Agreement and Operating Instructions of the Central Depository Services (India) Limited.

Dated the \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_.

\_\_\_\_\_  
**(Signature of Arbitrator)**



**FORM NO. 3**

Format of Covering Letter  
Central Depository Services (India) Limited

Date: \_\_ / \_\_ / 2\_\_\_\_

In the matter of  
Arbitration under the Bye-laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

To,  
The Respondent/s

Dear Sir(s),

We enclose a Notice (Form No. 2) dated \_\_ / \_\_\_\_ / 2\_\_\_\_ from \_\_\_\_\_,  
the Claimant/s above named together with copies of his/their Statement of the case and  
Statement/s of Account.

For your ready reference, we also enclose Reply to Arbitration Application (Form No. 4) and Form  
of Nomination and Appointment (Form No. 5).

Yours faithfully,

\_\_\_\_\_  
**(Arbitration Secretary)**

**FORM NO. 4**

**Reply to Arbitration Application**

In the matter of Arbitration under the Bye-laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

From,

\_\_\_\_\_  
\_\_\_\_\_

To,

The Secretary  
Arbitration Committee  
Central Depository Services (India) Limited

Sir,

In connection with the application for Arbitration dated \_\_\_\_/\_\_\_\_/\_\_\_\_\_ submitted by  
\_\_\_\_\_, the Claimant(s) above-named, I / We return herewith:

- (i) Form of nomination of an Arbitrator (Form no. 5) duly completed;
- (ii) Statement of the case in reply in triplicate;
- (iii) Statement of the set-off or counterclaim together with statement(s) of account in triplicate; and
- (iv) A sum of ₹ \_\_\_\_\_ /- being the Arbitration fees.

I / We enclose copies of all the supporting documents and papers relating to the reference in my / our possession as per the list annexed and/or undertake to produce such documents which are not in my possession in the due course. I /We undertake to produce original documents when called upon to produce.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_\_

Yours faithfully,

\_\_\_\_\_  
(Signature of Respondent/s)

**Note: In case of non-production of any of the above documents, reasons for the same shall be mentioned.**

**FORM NO. 5**

**Form of Nomination and Appointment**

In the matter of Arbitration under the Bye laws, Agreements and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

WHEREAS it is provided in the Bye Laws, Agreement and Operating Instructions of CDSL that all claims, differences and disputes (whether admitted or not) arising out of or in relation to dealings, transactions and contracts made subject to the said Bye Laws, Agreement and Operating Instructions or with reference to anything incidental thereto or in pursuance thereof or relating to their construction, fulfillment or validity, shall be referred to Arbitration as provided in the said Bye Laws, Agreement and Operating Instructions.

AND WHEREAS in pursuance of the said Bye Laws, Agreement and Operating Instructions, \_\_\_\_\_ the Claimant/s above-named has/have proposed the names of three Arbitrators and have called upon me/us to convey our consent for appointment of anyone of them as the Sole Arbitrator.

\*I/ We consent to the appointment of Shri \_\_\_\_\_ as the Sole Arbitrator /

\*I/We do not consent to the appointment of any of them as the Sole Arbitrator.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_.

\_\_\_\_\_  
**Signature of Respondent/s**

\* Strike out whichever is not applicable.

**FORM NO. 6**

**Form of Appointment of Arbitrator**

In the matter of  
Arbitration under the Bye-Laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)  
AND \_\_\_\_\_ (Name of Respondent/s)

WHEREAS by an instrument in writing dated the \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_ the Claimant/s above-named has/have duly proposed the names of three persons from the approved panel of Arbitrators to determine the claim, differences and disputes in the above matter as provided in the Bye-laws, Agreement and Operating Instructions of CDSL

AND

❖ WHEREAS \_\_\_\_\_, the Respondent/s above-named has/have failed/refused to consent to the appointment of any of the three Arbitrators proposed by the Claimant/s as provided in the said Bye-laws, Agreement, and Operating Instructions.

❖ WHEREAS the Respondent/s has/have consented to the appointment of Shri \_\_\_\_\_ as an Arbitrator to determine the claim, differences, and disputes in the above matter as provided in the Bye-laws, Agreement, and Operating Instructions of CDSL.

NOW, THEREFORE, in pursuance of the said of CDSL, I, Shri \_\_\_\_\_, authorized representative of CDSL, with the consent of the parties hereto, appoint Shri \_\_\_\_\_ as an Arbitrator/ third Arbitrator in the above matter.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_\_

**CDSL**

❖ Strike out what is not applicable. The recitals may vary according to the circumstances of the case

**FORM NO. 7**

**Appointment of the Presiding Arbitrator**

In the matter of  
Arbitration under the Bye Laws, Agreement and Operating Instructions of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)  
AND \_\_\_\_\_ (Name of Respondent/s)

We, the undersigned, \_\_\_\_\_ and  
\_\_\_\_\_ the Arbitrators duly appointed in the above matter  
hereby in conformity with the submissions made under the Bye Laws, Agreement and Operating  
Instructions of CDSL, under which we are acting, appoint \_\_\_\_\_  
to be the Presiding Arbitrator in the said matter.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2 \_ \_ \_

\_\_\_\_\_  
**(Signature of Arbitrators)**

-----  
To  
The Chairman,  
Central Depository Services (India) Limited

I, the undersigned \_\_\_\_\_ accept the appointment and  
agree to act as Presiding Arbitrator in the above matter.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 2 \_ \_ \_

\_\_\_\_\_  
**(Signature of Presiding Arbitrator)**

**FORM NO. 8**

**Notice of Hearing**

In the matter of Arbitration under the Bye-laws, Agreement and Operating Instructions, of  
Central Depository Services (India) Limited

BETWEEN \_\_\_\_\_ (Name of Claimant/s)

AND \_\_\_\_\_ (Name of Respondent/s)

WHEREAS \_\_\_\_\_ day of \_\_\_\_\_ 2\_\_\_\_ at \_\_\_\_\_ (time) at  
\_\_\_\_\_ (place) has been fixed by the Arbitrators herein  
for proceeding in the above reference.

NOW THEREFORE take notice that each party is required to remain present either in person or  
through a duly authorized representative for the said proceedings with the necessary books,  
documents, papers, etc., that may be required to be placed before the Arbitrators during the  
course of such proceedings.

AND take further notice that in case any party absents himself, the Arbitrator/ Umpire shall at  
their/ his discretion proceed with the reference ex-parte.

Dated the \_\_\_\_\_ day of \_\_\_\_\_, 2 \_ \_ \_

\_\_\_\_\_  
(Signature/s of Arbitrator(s) /Arbitration Secretary)

**PANEL OF ARBITRATORS OF CDSL - MUMBAI**  
**WITH ADDRESS AND CONTACT DETAILS**

**Arbitration Secretary**  
**Central Depository Services (India) Limited**  
**17<sup>th</sup> Floor, P.J. Towers**  
**Dalal Street,**  
**Mumbai – 400 001**  
**Tel. (022) 2272-8674**  
**Board: (022) 2272-3333 extn. 8671**

<b>Sr. No.</b>	<b>NAME</b>	<b>QUALIFICATIONS</b>	<b>ADDRESS</b>
1.	Mr. Deepak Narendra Shah	Advocate	Deepak Shah & Associates 2nd Floor, Modern House, 15, Dr. V.B.Gandhi Marg, Fort, Mumbai 400 023  Mobile. 9820800072
2.	Mr. Dilip Kakubhai Virani	M.B, ACI Arb, M.S	A501 Whispering Palms, XX_ Clusives Lokhandwala Township, Akurli, Kandivali East, Mumbai 400101  Mobile: 9769543585
3.	Mr. Subramanian Narayanan Ananthasubramanian	Practising C.S.	10/26, Brindaban, Thane (west), 400604  Mobile: 9867338880
4.	Mr. Rajan Balkrishna Chavan	Advocate	140/4750, Nehru Nagar, Near Mother Dairy, Kurla (E), Mumbai 400024  Mobile: 7738599066
5.	Mr. Paresh Manilal Joshi	Advocate	B/606, Blue Bel, Hiranandani Gardens, Powai, Mumbai 400076  Mobile: 9820291243
6.	Mr. Rajesh Lalji Shethia	Advocate	11-A, 2nd floor, Old Oriental Bank Bldg., 65, M.G. Road, Fort, Mumbai 400001  Mobile: 9820083253

Sr. No.	NAME	QUALIFICATIONS	ADDRESS
7.	Mr. Naresh Bhawabji Shah	Practising Chartered Accountant	602, Damji Shamji Trade Centre, Opp. Vidhyavihar Railway Station West, Mumbai 400086  Mobile : 9821156975
8.	Mr. Minesh C. Shah	Practising Chartered Accountant	Suite C-12A/14, 3rd Floor, Commerce Center Building 78, Tardeo Road, Mumbai 400 034  Mobile : 9819433557
9.	Mr. Satish Shah	Practising Chartered Accountant	M/s Defix, Office No. 1 & 2, Hajari House, 197, Dr. C.H. Street, Opp Alfred Restaurant, Marine Lines, Mumbai 400 002  Mobile: 9821187192
10.	Mr. Ashokkumar Premchandji Bakliwal	Practising Chartered Accountant	Rmm No. 53, 3rd Floor, Bhupen Chambers, 9, Dalal Street, Fort, Mumbai, 400 023  Mobile: 9821187192
11.	Mr. Dwarkanath Annappa Kamat	Practising Company Secretary	D.A. Kamat & Co. A-308, Royal Sand, Link Road, Shastri Nagar, Andheri West, Mumbai 400 053  Mobile: 9821313169
12.	Mr. Rashesh Kantilal Gandhi	Advocate	235/37, Venkatesh Building Kalbadevi Road, Opp. Tata Textiles, 1 <sup>st</sup> Floor, Mumbai 400 002  Mobile: 9322294781
13.	Mr. Rajendra G Sheth	Advocate	R.G. Sheth & Co. Kusum Vijay House, 1st Floor, 174, Mody Street, Opp. Municipal Fort Market, Fort, Mumbai 400001  Mobile: 9820056380
14.	Mr. Uttam Gramopadhye	Practising Chartered Accountant	B-1/2, Kalpita Enclave, Sahar Road, Andheri East Mumbai - 400 069  Mobile: 9820210657
15.	Mr. Brijmohan Lalchand Sarda	Practising Chartered Accountant	61, Rajgir Chambers, 7th Floor, 12/14, Shahid Bhagat Singh Road, Mumbai 400023



Sr. No.	NAME	QUALIFICATIONS	ADDRESS
			Mobile: 9820289530
16.	Mr. Sudhir K. Talsania	Advocate	5 <sup>th</sup> floor, Nanabhai Mansion, Sir P. M. Road, Fort, Mumbai 400 001  Mobile: 9820155345
17.	Mr. Pankaj M Patel	Advocate	Akshar Kutir, Compound of Laxminarayan Apartments, 39, Tagore Road, Santacruz (West), Mumbai 400 044  Mobile: 9820149889
18.	Shri A. K. Dhere	Chartered Accountant	3, Laxmi Nivas Society, Subhash 'B' Road, Vile Parle (E), Mumbai 400 057  Mobile: 9821111863
19.	Mr. Babulal Kisanlal Mundada	Chartered Accountant	B-401, Manavsthal-II, Gokuldharm, Goregaon East, Mumbai 400603  Mobile: 9820280056
20.	Mr. Rajesh V Shah	Practising Chartered Accountant	A. J. Shah & Co. Fort Chambers, C Block, 65, Tamarind Lane, first floor, Fort, Mumbai 400023  Mobile: 9820057500
21.	Mr. Shailesh R Ghedia	Practising Chartered Accountant	B/202, Labh Ashish, Old Police Qtrs. Lane, Andheri (E), Mumbai 400069  Mobile: 9869437888
22.	Mr. Anil Shah	Practising Chartered Accountant	302, Apeejay House, 130, ,Mumbai Samachar Marg, Fort Mumbai 400001  Mobile: 9820069616

**PANEL OF ARBITRATORS OF CDSL – CHENNAI  
WITH ADDRESS AND CONTACT DETAILS**

**Arbitration Secretary  
Central Depository Services (India) Limited  
BSE Investor Service Center  
No.4, Vijaya Towers, III Floor,  
Kodambakkam High Road, Chennai-600 034  
(09381995000)**

<b>Sr. No.</b>	<b>NAME</b>	<b>QUALIFICATIONS</b>	<b>ADDRESS</b>
1.	Mr. N.Chandrasekaran	Practising Chartered Accountant	M/s. Sekar & Mohan, No.18 Natesan Street, T Nagar Chennai 600017  Mobile: 9884053410
2.	Mr. N.Sekar	Practising Chartered Accountant	M/s, B.P.Jayarama Iyer & Co,no 1, Sundaram Street,T. Nagar, Chennai 600017  Mobile: 9940051743
3.	Mr. Mr. P.R.Aruloli	Practising Chartered Accountant	AP-372, Kamar Kudiirupu, 5, 28th Street, Anna nagar Chennai 600 040  Mobile: 9884061348
4.	Mr. G.Sivaprakash	Practising Chartered Accountant	6 No.5, 5th Cross Street, West Shenoy Nagar Chennai 600 030  Mobile 9444333306
5.	Mr. S.Mohan	Practising Chartered Accountant	Patel Mohan Ramesh & Co, A.R.K. Colony, New No. 35, (Old No. 4), Eldams Road, Alwarpet Chennai 600 018 Mobile: 9380639097
6.	Mr. C.Madasamy	Practising Chartered Accountant	No 33, Mookathal Street,1st floor, Purasawalkam, Near Dovton Chennai 600 007  Mobile: 9841113526

<b>Sr. No.</b>	<b>NAME</b>	<b>QUALIFICATIONS</b>	<b>ADDRESS</b>
7.	Mr. G.Prabhakar	Practising Chartered Accountant	147,Greams Road, 3rd floor, Chennai Chennai 600006  Mobile: 9444059514

**PANEL OF ARBITRATORS OF CDSL - KOLKATA**  
**WITH ADDRESS AND CONTACT DETAILS**

**Arbitration Secretary**  
**Central Depository Services (India) Limited**  
**Horizon, 2<sup>nd</sup> Floor, Opp. Exide Building,**  
**57, Jawaharlal Nehru Road,**  
**Near Rabindra Sadan Metro,**  
**Kolkata-700071**  
**Tel. (033) 32374880**

<b>Sr. No.</b>	<b>NAME</b>	<b>QUALIFICATIONS</b>	<b>ADDRESS</b>
1.	Mr. Sanwar Mal Gupta	Practising Company Secretary	Resi: 79, Bangur Avenue, Block - C, Kolkata 700055 Office: P-15 Bentinck Street, 3rd Floor, Kolkatta, West Bengal 700001  Mobile. 9830057568
2.	Mr. Madhav Sureka	Practising Chartered Accountant	32, Ezra Street, Room No. 653 Kolkatta, West Bengal 700001  Mobile: 9830049468
3.	Mr. Subodh Kumar Agarwal	Practising Chartered Accountant	301, Victory House,1, G C Avenue Kolkatta, West Bengal 700013  Mobile: 9830022848
4.	Ms. Priti Todi	Practising Company Secretary	225D, A.J.C Bose Road, RESI > 225/1B, AJC Bose Road Kolkatta, West Bengal 700020  Mobile: 9830915967
5.	Mr. Rajesh Lihala	Practising Chartered Accountant	11 Crooked Lane, Near Ambar Restaurant, Ground Floor Kolkatta, West Bengal 700069  Mobile: 9830160201
6.	Mr. Subhash Chandra Saraf	Practising Chartered Accountant	33, Brabourne Road, 3 <sup>rd</sup> floor Kolkatta, West Bengal 700001  Mobile: 9830997421
7.	Mr. Rajesh Kumar Kankaria	Practising Chartered Accountant	33, Brabourne Road, 3rd floor Kolkatta, West Bengal 700001

Sr. No.	NAME	QUALIFICATIONS	ADDRESS
			Mobile : 9830997421
8.	Mr. Nirmal Kumar Bothra	Practising Chartered Accountant	Shyam Kunj, 7/1B, Grant Lane, Ist Floor, Room No. 15 Kolkatta, West Bengal 700012  Mobile 9830656313
9.	Mr. Prajesh Kumar Choudhury	Practising Chartered Accountant	1A, Grant Lane, 2nd floor, Suite 214 Kolkatta, West Bengal 700012  Mobile : 9830143216
10.	Ms. Anjali Agarwal	Advocate	Hastings Chamber ; 7-C Kiran Shankar Roy Road, 2nd Floor Suite no. 11 Kolkatta, West Bengal 700001  Mobile: 9830212336
11.	Mr. Pawan Kumar Das	Practising Company Secretary	37A, Bentinck Street, Bentinck Chamber 4th Floor, Room 404, Kolkatta, West Bengal 700069  Mobile: 9331049016
12.	Mr. Atul Kumar Labh	Practising Company Secretary	Merlin Laurel Garden, Ruby- 4E, 4th Floor, 71 Narasingha Dutta Road Kolkatta, West Bengal 700008  Mobile: 9830055689/9331213190

**PANEL OF ARBITRATORS OF CDSL – NEW DELHI**  
**WITH ADDRESS AND CONTACT DETAILS**

**Arbitration Secretary**  
**Central Depository Services (India) Limited**  
**101, 1<sup>st</sup> Floor, Aggarwal Corporate Tower, Plot No. 23,**  
**District Center, Rajendra Place, New Delhi - 110008**  
**Tel. (011)-25782116-18**

<b>Sr. No.</b>	<b>NAME</b>	<b>QUALIFICATIONS</b>	<b>ADDRESS</b>
1.	Mr. Rajeev Kumar Khanna	Practising Chartered Accountant	Flat No 2, Pocket B-8, Sector 4, Rohini, Delhi 110085  Mobile: 9810640901
2.	Mr. P. K. Banerji	P.G. in Economics	Flat No. D-42, Dgc Apartment, Plot No.6, Sector-22,, Dwarka Delhi, 110075  Mobile: 9873275995
3.	Mr. Neeraj Aarora	Advocate	D-10/4, Opp Balaji Plaza, Sector - 8, Rohini, Delhi, 110085  Mobile: 9871435035
4.	Mr. M. A. Khan	Judge	6/202, East End Apartment, Mayur Vihar-1 Extn, Mayur Vihar, Delhi, 110085 Mobile 9810780634
5.	Mr. Jitesh Kumar Gupta	Practising Company Secretary	D-17, 1st Flr Vijay Nagar, Kingsway Camp, Delhi 110009  Mobile: 9810043622
6.	Mr. Dharam Vir Gupta	Advocate	106, Rajdhani Enclave, Pitampura, Delhi 110034  Mobile: 9868177556
7.	Mr. Ashutosh Aggarwal	Practising Company Secretary	35 Tyagi Vihar-B, Dharam Colony, Nangoli, Delhi 110041  Mobile 9818307204

Sr. No.	NAME	QUALIFICATIONS	ADDRESS
8.	Mr. V.Ramasamy	Practising Company Secretary	F-185/F-3, Dilshad Colony, Delhi 110095  Mobile 9891537918
9.	Mr. Vijay Kumar Bhasin	Practising Company Secretary	AG-102, Shalimar Bagh, Delhi 110088  Mobile 9899335956
10.	Mr. Kamal Kishore Singh	Practising Company Secretary	M-6, Usha Chamber, Central Market, Ashok Vihar, Delhi 110052  Mobile:9810220769
11.	Mr. Ashok Jain	Practising Chartered Accountant	BJ-93, East Block, (Second Floor), Shalimar Bagh, Delhi 110088  Mobile: 9811749437

Date :

To,

**(Name of Depository Participant)**

Dear Sir / Madam,

**Sub:**  **Subscription to CDSL's internet-based service "*easi*" (electronic access to securities information)**  
 **Demat account no:** \_\_\_\_\_

I am / We are registered for CDSL's internet based services "*easi*". As "*easi*" provides a facility to view, print / download account statement and transaction details, I / we opt not to receive the transaction statement, henceforth, in physical form.

I am / We are aware that you shall send us a 'physical statement' of account atleast once a quarter.

However, if an account statement / transaction statement is required by me / us in physical form at such additional intervals as specified by me, I / we agree to make payment of the necessary fees / charges, if any, as may be specified by you from time to time.

Thanking you,

\_\_\_\_\_  
**First Holder**

\_\_\_\_\_  
**Second Holder**

\_\_\_\_\_  
**Third Holder**





DP Name  
 DP of Central Depository Services (India) Limited  
 DP Address  
 Contact details: Phone, Fax, Email, Website

**TRANSACTION STATEMENT**

DP ID:

Client ID:

CM ID:

To,  
**BO Name**  
 Address

**STATEMENT OF ACCOUNT AS ON** : DD-MM-YYYY  
**FOR THE PERIOD FROM** : DD-MM-YYYY **TO**: DD-MM-YYYY

**ISIN: (ISIN CODE) (ISIN NAME)**

Date	Transaction Particulars	Settlement ID	Counter Settlement ID	Credit	Debit	Current Balance

**ISIN: (ISIN CODE) (ISIN NAME)**

Date	Transaction Particulars	Settlement ID	Counter Settlement ID	Credit	Debit	Current Balance

**ISIN: (ISIN CODE) (ISIN NAME)**

Date	Transaction Particulars	Settlement ID	Counter Settlement ID	Credit	Debit	Current Balance

**STATEMENT OF HOLDINGS**

DPID: \_\_\_\_\_ Client ID: \_\_\_\_\_

To,  
BO NAME  
ADDRESS

STATEMENT OF HOLDINGS AS ON : DD-MM-YYYY FOR THE PERIOD FROM: DD-MM-YYYY TO: DD-MM-YYYY				
ISIN Frozen Flags Settlement ID	SECURITY	Current Bal. Free Bal. Lent Bal.	Safekeep Bal. Locked In Bal. Avl Bal.	Pledged Bal. Earmarked Bal. Borrowed Bal.

~~ End of Statement ~~

For (DP NAME)

Authorised Signatory

Date And Time Of Report Generation : DAY MMM DD HH:MN:SS YYYY

[Ref Communiqué no. **CDSL/OPS/DP/POLCY/4305** dated March 12, 2014]

**Certificate from Statutory Auditors**

This is to certify that the net worth of (DP Name) \_\_\_\_\_  
as on (Date/Month/Year) as per the statement of computation of even date annexed to this report  
is Rupees \_\_\_\_\_ only.

It is further certified that the computation of net worth based on my / our scrutiny of the audited  
books of accounts, records and documents is true and correct to the best of my/our knowledge  
and as per information provided to my/our satisfaction.

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

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

for (Name of Statutory Auditor's Firm)

**Name of Partner**  
**Chartered Accountant**  
**Membership Number**

*Note: This certificate shall be given on the letterhead of the Statutory Auditors' Firm.*

### COMPUTATION OF NET WORTH

Sr. No	Particulars	Current Year (Rs.)	Previous Year (Rs.)
1.	Paid-up Capital + Free Reserves – Share Application Money (Total Reserves less Revaluation Reserves and Specified Reserves)		
	<b>Less:</b>		
A	Accumulated Losses		
B	Receivable (more than 6 months old)		
C	Receivable from Group Companies		
D	Intangible Assets		
E	Preliminary and Pre-operative expenses not written off		
F	Value of Stock Exchange Card		
G	Loan in excess of value of Pledged Securities		
H	Loan in excess of value of Pledged Assets		
I	Investment in Group Companies		
J	Net worth required for other depositories		
K	Loans and advances to group Companies		
L	Statutory Contingent Liabilities		
2.	Sub-Total (A+B+C+D+E+F+G+H+I+J+K+L)		
	<b>Available Net Worth (1-2)</b>		

**Notes:**

1. Details of item mentioned under Sr.No. C, F, G, H, I, K and L shall be provided as annexure to the certificate.
2. In case of statutory contingent liabilities, only 50% of the liabilities shall be deducted.
3. Security-wise details of all investments (quoted as well as unquoted securities) shall be provided as annexure to the certificate.

Ref. No.: \_\_\_\_\_

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

Central Depository Services (India) Limited  
 16<sup>th</sup> Floor, P J Towers  
 Dalal Street, Fort  
 Mumbai – 400 001

**Kind Attn: Vice President - Operations**

Dear Sir / Madam,

**Sub: Name, Signature and Email IDs of Compliance Officer and Authorized Signatories**

Please note that [✓ Tick the relevant boxes]:

- 1. Given below are the names, signatures & email IDs of our **new** Compliance Officer and **new** Authorized Signatories.
- 2. The information submitted to you earlier about the name, signature and email IDs of Compliance Officer and Authorized Signatories hereby stands cancelled.
- 3. We, hereby, confirm that the “**login ID**” of the resigning/old Compliance Officer and other employees who have left the organization have been **deleted** from the system.
- 4. Kindly include the following email IDs of DP staff to which communiqués may be sent.

<b>Main DP ID/Branch DP ID (as applicable)</b>			
<b>DP Name</b>			
<b>Name of Compliance Officer</b>			
<b>PAN Number of the DP</b>			
<b>PAN Number of the Compliance Officer</b>			
<b>Office Address of Compliance Officer</b>			
<b>Tel no. (Office)</b>		<b>Mobile no.</b>	
<b>Fax no. (Office)</b>		<b>E-mail ID (1)</b>	(Compliance Officer)
		Email ID (2)	
		Email ID (3)	
		Email ID (4)	
		Email ID (5)	

(If additional email IDs need to be added, please continue on a separate sheet, in the same format)

The authorized signatories mentioned hereunder are authorized to sign the documents including requests for contingency terminal, uploads/ downloads, modifications of rights for main DP/ branch DP, etc. (any written communication sent by DP to CDSL) jointly / severally with the Compliance Officer:

<b>Name(s) of Authorized Signatory(ies)</b>	<b>Designation</b>	<b>Signature(s)</b>
	Compliance Officer	

\_\_\_\_\_ **DP seal**

\_\_\_\_\_ **Signature of Director**



**INTERNAL AUDIT REPORT  
DETAILS OF BACK OFFICE CONNECTED BRANCHES**

Annexure - 17.3

DP ID -			DP NAME -																
SR. NO.	DATE OF SET UP	DATE OF WITHDRAWAL	SERVICE CENTER CODE	DP ID	NAME OF THE CENTER PROVIDING SERVICE	ADD1	ADD2	ADD3	CITY	DISTRICT	STATE	COUNTRY	PIN/ ZIP	TEL 1	TEL 2	FAX	E-MAIL ID	NAME OF THE CONTACT PERSON	



## Format of BO Grievance Report ( To be submitted by the DP electronically only )

<b>Audit Type =</b>	<b>BO Grievance</b>						
<b>Audit Month =</b>							
<b>DP Name (ID) =</b>							
<b>Attachments =</b>							
<b>Sr. No.</b>	<b>Nature of complaint</b>	<b>Pending at the beginning of the month (No. of cases)</b>	<b>No. of cases RECEIVED during the month</b>	<b>No. of cases RESOLVED during the month</b>	<b>No. of cases PENDING at the end of the month</b>	<b>No. of cases PENDING for more than 30 days</b>	<b>Reason for pendency as shown in column (E)</b>
		<b>(A)</b>	<b>(B)</b>	<b>(C)</b>	<b>(D)</b>	<b>(E)</b>	<b>(F)</b>
<b>I</b>	<b>Account Opening Related</b>						
I a	Denial in opening an account						
I b	Account opened in another name than as requested						
I c	Non receipt of Account Opening Kit						
I d	Delay in activation/opening of account						
I e	Non Receipt of copy of Rights & Obligations document/ Schedule A of Charges						

Sr. No.	Nature of complaint	Pending at the beginning of the month (No. of cases)	No. of cases RECEIVED during the month	No. of cases RESOLVED during the month	No. of cases PENDING at the end of the month	No. of cases PENDING for more than 30 days	Reason for pendency as shown in column (E)
<b>II</b>	<b>Demat/Remat Related</b>						
II a	Delay in Dematerialisation request processing						
II b	Delay in Rematerialisation request processing						
II c	Delay in/ Non-Receipt of Original certificate after demat rejection						
II d	Non Acceptance of demat/remat request						
<b>III</b>	<b>Transaction Statement Related</b>						
III a	Delay in/ Non-Receipt of Statements from DP						
III b	Discrepancy in Transaction statement						
<b>IV</b>	<b>Improper Service Related</b>						
IV a	Insistence in Power of Attorney in its favour						
IV b	Deactivation/ Freezing/ Suspension related						
IV c	Defreezing related						
IV d	Transmission Related						

Sr. No.	Nature of complaint	Pending at the beginning of the month (No. of cases)	No. of cases RECEIVED during the month	No. of cases RESOLVED during the month	No. of cases PENDING at the end of the month	No. of cases PENDING for more than 30 days	Reason for pendency as shown in column (E)
IV e	Pledge Related						
IV f	SMS Related						
IV g	Non-updation of changes in account (address/ signatories/ bank detail/ PAN/ Nomination etc.)						
<b>V</b>	<b>Charges Related</b>						
V a	Wrong/ Excess Charges						
V b	Charges paid but not credited						
V c	Charges for Opening/ closure of Account						
<b>VI</b>	<b>Delivery Instruction Related (DIS)</b>						
VI a	Non acceptance of DIS for transfer						
VI b	Delay in/ Non Execution of DIS						
VI c	Delay in Issuance / Reissuance of DIS Booklet						
<b>VII</b>	<b>Account Closure</b>						
VII a	Non closure/ delay in closure of account						

Sr. No.	Nature of complaint	Pending at the beginning of the month (No. of cases)	No. of cases RECEIVED during the month	No. of cases RESOLVED during the month	No. of cases PENDING at the end of the month	No. of cases PENDING for more than 30 days	Reason for pendency as shown in column (E)
VII b	Closure of a/c without intimation by DP						
<b>VIII</b>	<b>Manipulation/ Unauthorised Action</b>						
VIII a	Unauthorised Transaction in account						
VIII b	Manipulation						
VIII c	Unauthorised changes in account (address/ signatories/ bank details/ PAN etc.)						
VIII d	Erroneous Transfer						
<b>IX</b>	<b>Company / RTA related</b>						
IX a	Action - Cash						
IX b	Action - Non-Cash						
IX c	Initial Public Offer / Follow-on Public Offer Related						
<b>X</b>	<b>Other</b>						

DP ID:

Name of the DP:

Sr. No.	Address of the Service centre						Details of contact person						
	Address 1	Address 2	Address 3	City	PIN Code	State	Name of contact person	Designation of contact person	Tel no.	Fax No.	Mobile No.	e-mail address	PAN of contact person
1													
2													
3													
4													
5													

Undertaking:

We hereby agree and undertake that we will immediately notify CDSL in case of any change in the information provided herein above.

For &lt;Name of the DP&gt;

Authorised Signatory

Designation

Date:

Place:

*\* Services offered: e.g. Acceptance of Account opening forms, KYC verification, Maker entry of account opening, Checker entry of account opening, Issue of DIS, Acceptance of instructions, Maker entry of instructions, Checker entry of instructions, Verifier entry of instructions etc.*

*(Please note that comments in italics are for the purpose of guidance of the DP. The same should not be printed while submitting the information)*

DP ID:

Name of the DP:

Sr. No.	Training details		Services offered by the Service Centre*	Additional Information, if the Service Centre is managed by a Franchisee				
	Name of the trained person	Training (CDSL/ BCCD)		Name of the Franchisee	Registration numbers of the Franchisee (i.e. registered with SEBI/ RBI or any other regulatory authority)	Regulatory authority	Name of the Directors of the Franchisee	PAN of the Directors
1								
2								
3								
4								
5								

Undertaking:

We hereby agree and undertake that we will immediately notify CDSL in case of any change in the information provided herein above.

For &lt;Name of the DP&gt;

Authorised Signatory

Designation

Date:

Place:

\* Services offered: e.g. Acceptance of Account opening forms, KYC verification, Maker entry of account opening, Checker entry of account opening, Issue of DIS, Acceptance of instructions, Maker entry of instructions, Checker entry of instructions, Verifier entry of instructions etc.

(Please note that comments in italics are for the purpose of guidance of the DP. The same should not be printed while submitting the information)

Ref. No. \_\_\_\_\_

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

**Central Depository Services (India) Limited**

Admission Cell  
16<sup>th</sup> Floor, P J Towers  
Dalal Street, Fort  
Mumbai – 400 001

Dear Sir / Madam,

We seek CDSL's approval for opening a new DP Service Centre. We enclose, herewith, requisite information of the Service Centre [refer to Annexure-17.5].

We hereby undertake that:

- a. The service centre has and will maintain adequate infrastructure commensurate with the type of depository services being offered at the service centre.
- b. The service centre has and will have at least one person who is depository trained and certified or BCCD certified.
- c. The Participant has and will maintain on record identification documents (including photo identification) of all the persons engaged in DP operations at the service centre.
- d. The service centre will have the name of the Main DP prominently displayed in the premises of the service centre.
- e. *If such a service centre is managed by a franchisee, following additional confirmation to be submitted by the DP :*
  - The service centre located at \_\_\_\_\_ will be managed by the franchisee \_\_\_\_\_ *(please mention name of the franchisee entity)* The franchisee is duly registered (with a valid registration certificate) with a regulatory authority namely .... *(the name of the regulatory authority like recognized stock / commodity exchange, SEBI, RBI or IRDA etc. to be mentioned).*
  - The DP will ensure that validity of the registration continues, otherwise the DP will terminate the franchisee arrangement for DP operations with such entity. *(It may be noted that if a franchisee has submitted renewal application within the prescribed time limit and the regulatory authority has not given any decision on the same till expiry of registration, the arrangement can continue till such decision is obtained from such authority.)*
  - The DP has entered into an agreement with the franchisee covering services that can be offered by the franchisee.

We request you to accord your prior approval for the same.

For < ***Name of the DP*** >

**Authorised signatory  
Designation**

Date :

Place:

Encl: as above

*(Please note that comments in italics are for the purpose of guidance of the DP. The same should not be printed while submitting the undertaking).*



## CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

### MANAGING YOUR DEMAT ACCOUNT WITH CDSL

#### SIMPLE DOs and DON'Ts

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (**S**MS **A**lerts **R**elated to **T**ransactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com).
10. Register for CDSL's Internet based facility "*eas*" to monitor your demat account yourself. Contact your DP or visit CDSL's website: [www.cdslindia.com](http://www.cdslindia.com) for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.













**For conversion of existing Mutual Fund Units represented by  
Statement of Account into electronic (Destatementized) form**

**Depository Participant Name / Address**

(To be filled up by the Depository Participant)

DRF No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

(To be filled by the BO. Please fill all the details in **BLOCK LETTERS** in English. Fill up a separate DRF for different combination of Names and for different RTAs).

I/We request you to convert (Destatementize) the enclosed Mutual Fund Statement of Account [SoA] registered in my/our name into my/our demat account:

DP ID		Client ID								
Name of First Holder										
Name of Second Holder										
Name of Third Holder										

➤ Total Number of pages contained in the Statement of Account: \_\_\_\_\_

Folio No.	ISIN	Mutual Fund Name & Units Description	Quantity		Lock-in Details		Destatementization Request No. /DRN (To be filled in by DP)
			In Figures (or) All	In Words (or) All	Reason	Expiry Date	

- Attach an annexure (duly signed by account holder(s)) in the above format if the space is not sufficient.
- If all holdings in the Statement of Account are to be destatementized, then "ALL" should be mentioned in the Quantity column.

**Declaration by BO(s):** I/We hereby declare that the abovementioned MF units are registered in my/our name(s) and are not already destatementized and no certificates issued against these MF units. I/We also hereby declare that the units requested by me/us for conversion into destatementized form are free from any lien or charge or encumbrance and represent the bonafide units of the Issuer to the best of my/our knowledge and belief.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature with DP			
Signature with RTA			

**Depository Participant Authorization** (From DP to RTA) We have received the above-mentioned Statement of Account [SoA] for conversion into Destatementized form. It is also certified that the holder(s) of the SoA have a beneficial account with us in the same name(s) and order of name(s) as mentioned above.

**Depository Participant Seal and Signature**

**Change of Distributor Code**

I / We wish to update the distributor code and request the RTA to update the New Distributor Code as ARN-\_\_\_\_\_

\_\_\_\_\_ & Sub distributor code as \_\_\_\_\_ in my /our folio number(s) as given below.

Folio No.	ISIN	Scheme Name

**Signature (s) :**

<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>

===== (Please tear here) =====

**Acknowledgement Receipt**

We hereby acknowledge the receipt of the following MF units requested for conversion (Destatementization) by Mr./Mrs./Ms. \_\_\_\_\_ having BOID \_\_\_\_\_ with us.

Folio No.	ISIN	Mutual Fund Name & Units Description	Quantity		Lock-in Details		Destatementization Request No. /DRN (To be filled in by DP)
			In Figures (or) All	In Words (or) All	Reason	Expiry Date	

➤ Total Number of pages contained in the Statement of Account: \_\_\_\_\_

**Depository Participant Seal and Signature**

Rejection Code	Destatementization (Destat) Rejection Reason Codes
11	Stop transfer
12	SoA not received with MF-DRF
13	Destat request initiated under wrong MF ISIN
14	MF units not admitted
15	Separate MF-DRFs required for separate RTA
16	Mismatch in the electronic and physical details
17	Documents not received within 30 days
18	Transposition-cum-Destatementization not allowed
19	Transmission-cum-Destatementization not allowed
21	Signature mismatch
22	Signature of 1st/2nd/3rd holder not present
23	Quantity received and DRF quantity mismatch
30	Incorrect Holder(s) name / pattern
32	DRF sent to incorrect Registrar
34	Court injunction pending
36	Allotment/Call payment receipt not attached
38	Rejected due to ACA
42	Investor requested for rejection & account closure
46	DRF not signed / stamped by DP
99	Others



**Mutual Fund Restatementization Request Form [MF-RRF]**

**Depository Participant Name / Address**

(To be filled up by the Depository Participant)

RRN		Date	D	D	M	M	Y	Y	Y	Y
-----	--	------	---	---	---	---	---	---	---	---

RRF No.		Date	D	D	M	M	Y	Y	Y	Y
---------	--	------	---	---	---	---	---	---	---	---

(To be filled by the BO. Please fill all the details in **BLOCK LETTERS** in English. Fill up a separate RRF for different combination of Names and for different RTAs).

I/We request you to convert (Restatementize) the Mutual Fund Units held in my/our demat account:

DP ID		Client ID								
Name of First Holder										
Name of Second Holder										
Name of Third Holder										

Existing Folio, If any	ISIN	Mutual Fund Name & Units Description	Quantity		Lock-in Details		Restatementization Request No. /RRN (To be filled in by DP)
			In Figures (or) All	In Words (or) All	Reason	Expiry Date	

- Attach an annexure (duly signed by account holder(s)) in the above format if the space is not sufficient.
- If all holdings in the demat account are to be restatementized, then "ALL" should be mentioned in the Quantity column.

**Declaration by BO(s):** I/We hereby declare that the abovementioned MF units are registered in my/our name(s) and are not already Restatementized and no Statement of Account issued against these MF units. I/We also hereby declare that the units requested by me/us for conversion into Statement of Account form are free from any lien or charge or encumbrance and represent the bonafide units of the Issuer to the best of my/our knowledge and belief.

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature with DP			
Signature with RTA			

**RRF Set up Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_

**Depository Participant Seal and Signature**

===== (Please tear here) =====

**Acknowledgement Receipt**

We hereby acknowledge the receipt of the following MF units requested for conversion (Restatementization) by Mr./Mrs./Ms. \_\_\_\_\_ having BOID \_\_\_\_\_ with us.

Existing Folio, If any	ISIN	Mutual Fund Name & Units Description	Quantity		Lock-in Details		Restatementization Request No. /RRN (To be filled in by DP)
			In Figures (or) All	In Words (or) All	Reason	Expiry Date	

**Depository Participant Seal and Signature**

**REPURCHASE / REDEMPTION REQUEST FORM [RRF]**

Participant Name														
Depository Participant ID														
RRN						Date	D	D	M	M	Y	Y	Y	Y
RFN No.						Date	D	D	M	M	Y	Y	Y	Y

I/We offer the below mentioned **Mutual Fund (MF)** units for repurchase / redemption and declare that my/our account be debited **"All"** or **the number of MF Units** to the extent of my/ our repurchase / redemption request and proceeds be paid to me/us cheque/ bank draft. I/We hereby declare that the below mentioned person(s) are the beneficial owners of the MF Units mentioned.

Demat Account Number														
Name of First / Sole Holder														
Name of Second Holder														
Name of Third Holder														
No. of MF units to be Repurchased/Redeemed (in figures) or <b>"ALL"</b>	<b>"Amount" (₹)</b>													
in words (integers and fractions)														
Name of the security / scheme														
Name of the issuing Company / AMC														
Face Value														
ISIN														

**If all holdings in the Demat account are to be redeemed / repurchased, then "ALL" should be mentioned in the Quantity column.**

Specimen Signature(s)	Name	Signature
First / Sole Holder	_____	_____
Second Holder	_____	_____
Third Holder	_____	_____

**Participant Authorization**

Received the above mentioned MF Units for repurchase/ redemption from

Account No.										
ISIN										
Date	D	D	M	M	Y	Y	Y	Y		
Name of First / Sole Holder										

The application form is verified with the details of the beneficial owner's account and certified that the application form is in order. The account has sufficient balance to accept the repurchase/ redemption request. It is also certified that the beneficial owner's signatures are verified and found to be in order.

RFN Set up Date: \_\_\_\_\_ Time: \_\_\_\_\_

**Depository Participant's Signature** \_\_\_\_\_ **Seal** \_\_\_\_\_ **Date** \_\_\_\_\_  
 = = = = =

**Acknowledgement**

Participants Name Address and ID \_\_\_\_\_

We hereby acknowledge the receipt of repurchase/ redemption request for \_\_\_\_\_ no. of securities of \_\_\_\_\_ (security details) from \_\_\_\_\_ (Name) holding a/c no. \_\_\_\_\_

\_\_\_\_\_  
**Depository Participant's Signature** \_\_\_\_\_ **Seal** \_\_\_\_\_ **Date** \_\_\_\_\_