

# IITL GROUP

## IIT INVESTRUST LIMITED

**Regd. Office :** 14-E, Raja Bahadur Mansion, 2nd Floor, 28, Bombay Samachar Marg, Fort, Mumbai - 400 001.

Phone No. (022)-4325 0162 / 0100 • Fax No. (022)-2265 1105

Mail Id : iitinvestrust@iitlgroup.com • Website : <http://www.iitinvestrust.com>

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

DP ID - 64500 • SEBI REGN. NO. : IN-DP-CDSL-554-2010

DEMAT ACCOUNT OPENING KIT

INDIVIDUAL

OTHER THAN INDIVIDUAL

Account No. : **12064500** \_\_\_\_\_

Name (1) : \_\_\_\_\_

Name (2) : \_\_\_\_\_

Name (3) : \_\_\_\_\_

DP Internal Ref. No. : \_\_\_\_\_

**IN PERSON VERIFICATION DONE FOR IIT INVESTRUST BY**

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

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

Emp. Code : \_\_\_\_\_ Date : \_\_\_\_\_







Signature : \_\_\_\_\_



## GENERAL INFORMATION FROM DEPOSITORY PARTICIPANT (CDSL)

**As you are applying to Demat account with the depository participant of (CDSL) below are information that you should aware of:**

1. All communication shall be sent at the address of the Sole/ First holder only.
2. Instructions related to nomination, are as below :
  - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-Individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
  - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - IV. Nomination in respect to the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
  - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

<b>1st Holder</b> 	<b>Auth. Signatory</b> 
<b>2nd Holder</b> 	<b>Witness</b> 
<b>3rd Holder</b> 	<b>Nominee/Guardian</b> 



**About IIT Investrust Ltd.:**

IIT Investrust Limited. Registered & Correspondence Address : 14E, Rajabhadur Mansion, 2nd Floor, 28, Bombay Samachar Marg, Fort, Mumbai - 400 001.  
 Website: <http://www.iitinvestrust.com>, Mail Id : [iitinvestrust@iitlgroup.com](mailto:iitinvestrust@iitlgroup.com), Phone No. +91 (022)-43250100 / 0162 / 0163,  
 SEBI Registration No. IN-DP-CDSL-554-2010, DP ID 12064500

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**Name of stock broker/Trading member: IIT INVESTRUST LTD**

**SEBI Registration No. and date:** BSE CM: INB011351534 & October 08, 2009; NSE CM: INB231351538& November19, 2009; NSE F&O: INF231351538& November 19, 2009

**Registered office address:** 14-E, Raja Bahadur Mansion, 2nd Floor, 28, Bombay Samachar Marg, Fort, Mumbai – 400 001.

Fax: 2265 1105.Website: [www.iitinvestrust.com](http://www.iitinvestrust.com)

**Correspondence office address:** 14-E, Raja Bahadur Mansion, 2nd Floor, 28, Bombay Samachar Marg, Fort, Mumbai – 400 001.

**Compliance officer name, phone no. & email id:** G. Jeevanantham, Phone no.:2243250100

EMAIL:[jeeva@iitlgroup.com](mailto:jeeva@iitlgroup.com)

For any grievance/dispute please contact us at the above address or email [investor.grievance@iitlgroup.com](mailto:investor.grievance@iitlgroup.com),and

Phone no. 91–22–43250100, 22626844/47, 43250163 Fax No. 2265 1105.For any grievance/dispute please contact us at the above address or email: [nseiscmm@nse.co.in](mailto:nseiscmm@nse.co.in), for NSE. And for BSE contact: [ravindra.palande@bseindia.com](mailto:ravindra.palande@bseindia.com)

### Acknowledgement Receipt

Application No. \_\_\_\_\_

Date

DP ID No.

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

Name of the Sole / First Holder \_\_\_\_\_

Name of Second Holder \_\_\_\_\_

**For IIT Investrust Limited**

Seal and Signature

**Know Your Client (KYC)  
Application form**



CIVL



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IIT Investrust Limited

FIRST HOLDER

Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).  
Name

Father's/Spouse Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_ **1**

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card  
Unique Identification Numbar (UID)/Aadhaar, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)  
 UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it First Holder

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence  

  
City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
State \_\_\_\_\_ Country \_\_\_\_\_

2. Contact Details  
Tel. (Off.) (ISD) (STD) \_\_\_\_\_ Tel. (Res.) (ISD) (STD) \_\_\_\_\_  
Mobile (ISD) (STD) \_\_\_\_\_ Fax (ISD) (STD) \_\_\_\_\_  
E-Mail Id. \_\_\_\_\_

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_  
\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant  

  
City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
State \_\_\_\_\_ Country \_\_\_\_\_

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_  
\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other Information \_\_\_\_\_

**DECLARATION**

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

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

**SIGNATURE OF APPLICANT**

**2**

**FOR OFFICE USE ONLY**

AMC / Intermediary name Or code _____ _____ (Originals verified) of documents received by Main Intermediary _____ (Attested) True copies Self Certified Documents copies received	For IIT Investrust Limited  <b>Authorised Signatory</b> Date _____ Round Seal/Stamp	IPV done _____ on ____/____/____  For IIT Investrust Limited  IPV done by _____ Employee/SB/AP Designation _____ Branch _____  Signature _____ Round Seal/Stamp _____ Date: _____
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\*Please note that the KYC application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant.

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

### B. PROOF OF IDENTITY (POI): LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:

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

### C. PROOF OF ADDRESS (POA): LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF ADDRESS: (\*DOCUMENTS HAVING AN EXPIRY DATE SHOULD BE VALID ON THE DATE OF SUBMISSION.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of

Residence / Driving License / Flat Maintenance bill / Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. EXEMPTIONS/CLARIFICATIONS TO PAN:

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

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

### E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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

**Know Your Client (KYC)  
Application form**



CIVL



IITL GROUP

IIT Investrust Limited

SECOND HOLDER Application No. :

Please fill in ENGLISH and in BLOCK LETTERS with black ink

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).  
Name

Father's/Spouse Name

2. Gender  Male  Female    B. Marital status  Single  Married    C. Date of Birth

3. Nationality  Indian  Other (Please specify) \_\_\_\_\_ **1**

4. Status Please tick (✓)  Resident Individual  Non Resident  Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN 



 Please enclose a duly attested copy of your PAN Card  
Unique Identification Numbar (UID)/Aadhaar, if any: \_\_\_\_\_

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)  
 UID (Aadhaar)  Passport  Voter ID  Driving Licence  Others \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it Second Holder

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence  

  
City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_  
State \_\_\_\_\_ Country \_\_\_\_\_

2. Contact Details  
Tel. (Off.) (ISD) (STD) \_\_\_\_\_ Tel. (Res.) (ISD) (STD) \_\_\_\_\_  
Mobile (ISD) (STD) \_\_\_\_\_ Fax (ISD) (STD) \_\_\_\_\_  
E-Mail Id. \_\_\_\_\_

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.  
 Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License  Voter Identity Card  \*Latest Bank A/c Statement/Passbook  
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 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Gas Bill  Others (Please specify) \_\_\_\_\_  
\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other Information \_\_\_\_\_

**DECLARATION**

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

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

**SIGNATURE OF APPLICANT**

**2**

**FOR OFFICE USE ONLY**

IPV done \_\_\_\_\_ on \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

AMC / Intermediary name Or code \_\_\_\_\_  
\_\_\_\_\_  
(Originals verified)  
of documents received by Main Intermediary  
\_\_\_\_\_  
(Attested) True copies  
Self Certified Documents copies received

**For IIT Investrust Limited**  
  
**Authorised Signatory**  
Date \_\_\_\_\_  
Round Seal/Stamp

**For IIT Investrust Limited**  
  
IPV done by \_\_\_\_\_ Employee/SB/AP  
Designation \_\_\_\_\_ Branch \_\_\_\_\_  
Signature \_\_\_\_\_  
Round Seal/Stamp \_\_\_\_\_ Date: \_\_\_\_\_

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3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

### B. PROOF OF IDENTITY (POI): LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:

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

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2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. EXEMPTIONS/CLARIFICATIONS TO PAN:

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

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

### E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

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





## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale

Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50,000/-p.a.
  5. In case of institutional clients, namely, FIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- ### E. List of people authorized to attest the documents:
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
  2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary whole time director/MD (to be submitted every year)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

### Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant | | | | | | | | | |

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Wether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

3

Signature of the Authorised Signatory

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

Date : |D|D|M|M|Y|Y|Y|Y|

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**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

Please fill in english and in BLOCK letters with black ink

Application Form No. : \_\_\_\_\_

**Details** To be filled by the Depository Participant

 Date 

 DP Internet Reference No. 

 DP ID 

 Client ID 

 3 

 Type of account :  Individual  Non-Individual

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

**First holder of demat account**

Please affix the recent passport size photograph and sign across it

**Holder Details**

 Sole / First Holder's Name \_\_\_\_\_ PAN 

 UID 

 Second Holder's Name \_\_\_\_\_ PAN 

 UID 

 Third Holder's Name \_\_\_\_\_ PAN 

 UID 

Name\*

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is open in the name of the natural persons, the name of the Firm, Association of Person (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"/> Other (specify) _____	
<input type="checkbox"/> Non-Individual	<b>Type of Account (Please tick whichever is applicable) 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"/> Others (specify) _____	<b>Sub - Status</b> To be filled by the DP
	SEBI Registration No. (If Applicable) _____	SEBI Registration date <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>
	RBI Registration No. (If Applicable) _____	RBI Approval date <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>
	Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____	



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

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)

Yes  No. If Yes, please provide details as under:

Name of Holder \_\_\_\_\_ PAN of the Holder \_\_\_\_\_

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

SMS Alert Facility Refer to Terms & Conditions on our website	MOBILE NO. +91 _____ (Mandatory, if you are giving Power of Attorney (POA) (if POA is not granted & do not wish to avail of this facility, cancel this option.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions on our Website	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  I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST  Stock Exchange Name/ID _____  Clearing Member Name _____  Clearing Member ID (Optional) _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Easi</b>	To register for Easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online	<input type="checkbox"/> Yes <input type="checkbox"/> No





If nominee is minor, details of guardian :

 Gender  Male  Female

**As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the Event of the death of the sole holder / all joint holders, I/we appoint following person to act as guardian.**

Name of guardian of nominee	_____
Relationship of guardian with Nominee	_____
Address of guardian	_____
City	_____ PIN Code <input type="text"/>
State	_____ Country _____
Mobile	<input type="text"/>
Phone no	<input type="text"/>
Email ID	_____ Fax <input type="text"/>

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

 Signature of nominee  \_\_\_\_\_

 Signature of guardian  \_\_\_\_\_

**Name, Address And Signature of Witness**

Two witnesses shall attest signature(s) / thumb impression(s)

1) Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Signature  \_\_\_\_\_

2) Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Signature  \_\_\_\_\_

**NOMINEE**

Please affix the recent passport size photograph and sign across it



**GUARDIAN  
(In case of Minor)**

Please affix the recent passport size photograph and sign across it



 Date        

This space is intentionally kept blank.

**Declaration**

For Individual

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.

For Non-Individual

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.

**In case of Individual**

First/Sole Holder Guardian (in case of Minor)	Second Holder	Third Holder
Name _____	Name _____	Name _____
4  _____	3  _____	1  _____

Place \_\_\_\_\_

Date

**In case of Non-Individual**

Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name _____	Name _____	Name _____
Designation _____	Designation _____	Designation _____
4 <input type="checkbox"/> _____	5 <input type="checkbox"/> _____	6 <input type="checkbox"/> _____

Place \_\_\_\_\_

Date

## 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.

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**IT INVESTRUST LIMITED**  
**DP OPERATIONS CHARGES**

Details of Charges	Individual	Clearing Members Account	Corporate Body Account
<b>1. Account Opening Charge</b>	NIL	NIL	NIL
<b>2. Account Maintenance Charges</b>	400 pa	1000/- Depository Charges p.a.	1000 - pa (PLR ANNUM)
<b>3. Debit Transaction Charges Market &amp; Off-Market</b>	Per debit transaction Rs. 12/-	A flat charges Rs. 1000/- pm PLUS Rs. 6/- per transaction (Debit Transaction) Market/ Off Market/ Inter Depository/ Pool to Pool Transfer A flat settlement fee of Rs.250/-pm for BSE CM Principal account A flat settlement fee of Rs.250/-pm for BSE CM Pool account A flat settlement fee of Rs.500/-pm for NSE CM Pool account	Rs. 12/- Per Debit transaction
<b>4. Same day execution and pay-in</b>	Rs. 20/- addition per request/scrip	Rs. 20/- addition per request/scrip	Rs. 20/- addition per request/ per scrip
<b>5. Security landing! borrowing and pledge / un-pledge charges</b>	Rs. 50/- per request Plus Depository Charges	Rs. 50/- per request Plus Depository Charges	Rs. 50/- per request Plus Depository Charges
<b>6. DEMAT CHARGES</b>	Rs. 5/- per Certificate Plus Rs. 50/- for postal/courier charges per one consignment for 10 certificates each.	Rs. 5/- per Certificate Plus Rs. 50/- for postal/courier charges per one consignment for 10 certificates each.	Rs. 5/- per Certificate Plus Rs. 50/- for postal/courier charges per one consignment for 10 certificates each.
<b>7. Remat Charges</b>	Minimum Rs. 75/- plus Depository Charges i.e. Rs.10/- per 100 securities or part quantity or Rs. 10/- per cert. whichever is higher	Minimum Rs.75/- plus Depository Charges i. e. Rs.10/- per 100 securities or part quantity or Rs. 10/- per cert. whichever is higher	Minimum Rs.75/- plus Depository Charges i. e. Rs.10/- per 100 securities or part quantity or Rs. 10/- per cert. whichever is higher
<b>8. Failed/rejected Transaction</b>	Rs. 20/ per transaction	Rs. 20/ per transaction	Rs. 20/ per transaction
<b>9. Statement charges</b>	fortnight Statement of transaction and Statement of Holding sent every fortnight \ ia email shall be free of cost Adhoc statement request - Rs.25- (Rs. 500 for foreign address) per request up to 10 pages plus carrier charges		
<b>10. Cheque Bounce charges</b>	Rs. 200/- per bounce	Rs. 200/- per bounce	Rs. 200/- per bounce

5 

First Holder

4 

Second Holder

2 

Third Holder

### Terms & Conditions:

- a) IIT Investrust Limited reserves its right to revise its Charges/Billing structure at its absolute discretion.
- b) Cheques /Pay orders/ D.D., should be drawn in favor of IIT Investrust Limited .
- c) All the other charges will be collected over-the-counter and receipts of the same should be collected immediately.
- d) Statement of Transaction will be sent to you by courier/post/electronically as per guidelines issued by CDSL / SEBI from time to time.
- e) Service Tax will be applicable on the above charges and is subject to change.
- f) Please note that, in terms of SEBI Circular No. CIR/MRD/DP/20/2010 dated July 1, 2010, in the event of closing of your demat account or shifting of the demat account from us to another DP we shall refund you the Account Maintenance Charges for the unrealized quarter/balance of quarters.
- g) Incidental charges - tele/fax/courier etc., if any, will be charged at actual for Demat Rejection.
- h) Periodic Transaction/Holding Statements will be sent on Correspondence address. While any Non-periodic statements asked for, will be charged Rs. 5/- per page.
- i) The Beneficial Owner authorizes IIT Investrust Limited, to recover the DP charges on various transactions from time to time from the regular shares dealing /deposit account/any other account maintained with its group company, IIT Investrust Limited.
- j) Depository charge schedule is subject to change at the sole discretion of IIT Investrust Limited by giving one month's notice to Beneficial Owner.

**I/We have read the terms and conditions and accept the schedule of charges as ticked above. I/We wish to apply for website/e-mail statement for my/our depository account.**

 6 

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

 5 

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

 3 

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

*This space is intentionally kept blank.*

**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, Dalai 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 [com\\_plaints@cdslindia.com](mailto:com_plaints@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.

**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**Liability and Indemnity:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**Amendments:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**Governing Law and Jurisdiction:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID : 

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

  
(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent 

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

  
(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication; if any, is to be sent)

Signatures 7  6  4   
**First Holder** **Second Holder** **Third Holder**

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



**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date									
------	--	--	--	--	--	--	--	--	--

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>4</b>	<b>5</b>	<b>0</b>	<b>0</b>	Client ID								
First Holder Name																	
Second Holder Name																	

To,  
**IIT INVESTRUST LIMITED (12064500)**  
 Rajabhadur Mansion, 2nd Floor, 28,  
 B. S. Marg, Frot, Mumbai - 400 001.




Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

 **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully




	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	8 	7 	5 

**OR**

 **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	9 	8 	6 

----- (Please Tear Here) -----

**Acknowledgement Receipt**

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>4</b>	<b>5</b>	<b>0</b>	<b>0</b>	Client ID								
Name of the Sole / First Holder																	
Name of Second Joint Holder																	

**Depository Participant Seal and Signature**

**INSTRUCTION FROM FOR PURCHASE WAIVER**

Date									
------	--	--	--	--	--	--	--	--	--

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>4</b>	<b>5</b>	<b>0</b>	<b>0</b>	Client ID								
First Holder Name																	




To,  
**IIT INVESTRUST LIMITED (12064500)**  
 Rajabhadur Mansion, 2nd Floor,  
 28, B. S. Marg, Frot, Mumbai - 400 001.

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 Joint Holder	Third Joint Holder
Name			
Signature	10 	9 	7 

----- (Please Tear Here) -----

**Acknowledgement Receipt**

Received Waiver for Purchase Transactions instruction from:

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>6</b>	<b>4</b>	<b>5</b>	<b>0</b>	<b>0</b>	Client ID								
Name of the Sole / First Holder																	
Name of Second Joint Holder																	

**IIT INVESTRUST LIMITED (12064500)**  
 Rajabhadur Mansion, 2nd Floor, 28, B. S. Marg, Frot, Mumbai 400001.  
 Phone No. 022 43250100 / 162 22626847 Fax No. 022-22651105  
 Http://www.iitinvestrust.com

**(VOLUNTARY)**

Date

To,

**IIT Investrust Limited**

14-E, Rajabhadur Mansion, 2nd Floor,  
28, B. S. Marg, Fort, Mumbai - 400 001.

Dear Sirs,

**Sub. : Authorisation for adjustment of various depository charges**

Ref: B0ID 12064500 \_\_\_\_\_.

I/We are having a Trading account with one of your group company,  IIT Investrust Limited, a Stock Broker registered with NSE/BSE/MCX-SX and having my/our Trading Client code \_\_\_\_\_. (Trading account is in the name of first holder of demat account)

I/We hereby give my/our consent/authority that all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me/us for the transactions carried out in my/our demat account including any statutory levies, services tax or any other taxes be debited/recovered directly to/from my/our trading ledger having code \_\_\_\_\_ maintained with IIT Investrust Limited. I/We understand and agree that such depository charges will be debited in my/our trading ledger maintained with IIT Investrust Limited. irrespective of the ledger balance on periodically and/or as per the details provided by IIT Investrust Limited.

I/We instruct IIT Investrust Limited to provide the requisite information periodically and/or on occasion basis of such charges levied on me/us to IIT Investrust Limited with whom I/we have opened the trading account.

I/We understand and consent that IIT Investrust Limited shall have the right to recover the depository charges like any other trade dues payable by me/us from my/our trading ledger. I/We hereby further authorize IIT Investrust Limited to set off a part or whole of the collateral/ledger balances/securities in my/our demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my/our demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with IIT Investrust Limited. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me/us.

Yours faithfully,

<b>First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name _____	Name _____	Name _____
11  _____	10  _____	8  _____

**(VOLUNTARY)**

Date 

DD	MM	YYYY
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To,  
**IIT Investrust Limited**  
 14-E, Rajabhadur Mansion, 2nd Floor,  
 28, B. S. Marg, Fort, Mumbai - 400 001.

Dear Sirs,

**Sub: Authorization for receiving any documents/communications in electronic form by E-mail from Depository Participant and/or display on Website.**

I/We am/are registered as a Client and having Demat account under client code \_\_\_\_\_, with IIT Investrust Limited and hereby authorize IIT Investrust Limited for the following:

- I/We authorize IIT Investrust Limited to issue me/us bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my/our demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the Email ID as mentioned hereunder:

E-mail Id: \_\_\_\_\_

- I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account.
- I/We is/are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- I/We am/are authorised by other holders to receive the documents through website/in my/our registered e-mail ID. I/We shall verify the authenticity of the e-mails which I/we shall receive. IIT Investrust Limited shall not be responsible, if I/we do not receive the documents due to incorrect e-mail ID and/or technical reasons.
- I/We shall inform IIT Investrust Limited in writing if there is any change in my/our registered e-mail ID.
- Either Party i.e. IIT Investrust Limited and I/We shall have the right to terminate such service, provided a written notice is given in advance to the other party.
- IIT Investrust Limited shall not be responsible, if I/we do not receive the statement due to incorrect e-mail ID and/or technical reasons, however in case IIT Investrust Limited receives bounced emails, IIT Investrust Limited will ensure that the transaction statements is provided to me/us in paper form.

I/We understand that wherever the e-mails have not been delivered to me/us or has been rejected (bouncing of mails) from the e-mail ID of my/our, IIT Investrust Limited would send physical document to me/us. I/We further hereby agree that IIT Investrust Limited shall fulfill the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I/We agree that IIT Investrust Limited will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my/our email/inbox running out of capacity, malfunction of my/our computer system/ server/internet connection, mails received by frauds/imposters etc. I/We also agree that IIT Investrust Limited shall not take cognizance of out-of office/ out-of-station auto replies and I/We shall be deemed to have received such electronic mails. However, in the case of internet clients, the request for such change in email ID may be made through the secured access by way of client-specific login ID and password provided by IIT Investrust Limited.

I/We confirm to have read and understood the terms and conditions pertaining to my/our account.

Yours faithfully,

First Holder	Second Holder	Third Holder
Name _____	Name _____	Name _____
12  _____	11  _____	9  _____

(To be signed by the client only and not by any other person or holder of the power of Attorney on his behalf)

**Common Registration Form for availing SMS Alert and /or TRUST facility**

 Date   

 To  
**IIT Investrust Limited**  
 14-E, Rajabhadur Mansion, 2nd Floor,  
 28, B. S. Marg, Fort, Mumbai - 400 001.

Place \_\_\_\_\_

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

- a. SMART-SMS alert facility
- b. TRUST- TRansaction using Secured Texting facilit

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

 BOID (Please write your 8 digit DPID) 

 (Please write your 8 digit Client ID) 

Sole / First Holder's Name \_\_\_\_\_

Second Holder's Name \_\_\_\_\_

 Mobile Number on which messages are to be sent +91 

(Please write only the mobile number without prefixing country code or zero ) (Existing users registered for SMS alerts: - Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:


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

Email ID: \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)

I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

<b>13</b>  _____ <b>Sole / First Holder</b>	<b>12</b>  _____ <b>Second Holder</b>	<b>10</b>  _____ <b>Third Holder</b>
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Place \_\_\_\_\_

 Date

## DECLARATION OF JOINT FAMILY

To,  
**IIT INVESTRUST LTD.**  
14-E, Raja Bahadur Mansion,  
28, Bombay Samachar Marg,  
Fort, Mumbai - 400 001.

Client Code / DP Account No. \_\_\_\_\_

Dear Sir,


I, \_\_\_\_\_ (Name of KARTA of HUF) aged about \_\_\_\_\_  
years residing at \_\_\_\_\_

hereby request you to open our Trading and/or DEMAT account with you, for our HUF. Being KARTA of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application.

Sr. No.	Name of Family Member	Member PAN	Date of Birth	Relation
1				
2				
3				
4				

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date of making this Application to open Trading and/or DEMAT account. I agree that any false/misleading information given by me of suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any change in the family as it changes the constitution of the HUF.

Thanking yiu,

**14**  \_\_\_\_\_

Signature of of KARTA  
(With Rubber Stamp)

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

Date:



