

Appl. No:



## DEMAT ACCOUNT OPENING FORM (INDIVIDUAL / NRI / FOREIGN NATIONAL)

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS  
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT

CLIENT NAME : \_\_\_\_\_

DP ID : 12076000

CLIENT ID : \_\_\_\_\_

INTRODUCER NAME & CODE : \_\_\_\_\_

ADVISORY NAME & CODE : \_\_\_\_\_

BRANCH / AP CODE : \_\_\_\_\_

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters / Partners / Karta / Trustees and whole time directors and persons authorized to deal in securities on behalf of company / firm / others.
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 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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.2.

### 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. 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 apostiled 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.
5. SIP of Mutual Funds upto Rs 50, 000/- p.a.  
In case of institutional clients, namely, FII's, 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).  
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>
Trust	<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).</li> <li>• 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>

**AMBALAL SHARES & STOCKS PRIVATE LIMITED**

163, Durga Bhavan II Floor, New Katpadi Road, Vellore632004 .  
Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006.  
E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com

**Depository Participant : CDSL**  
**SEBI Regn. No. : IN-DP-CDSL-677-2013**  
**DP ID : 12076000**

Dear Investors,

We thank you for choosing Ambalal Shares & Stocks Private Limited for providing you services for your Depository needs. We value your patronage and assure you that we will strive to assist you in the best possible manner for all depository related needs.

We enclose herewith Know Your Client "KYC Form" and other Documents for execution. Kindly note that these documents are prescribed by the Regulatory authorities and are in mutual interest. We urge you to go through these documents to enhance your depository experience.

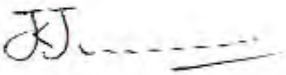
We request you to provide us with your email address so that your accounts and other information can be sent to you electronically. We suggest that this booklet be returned with all necessary supporting documents together to ensure speedy processing. Requesting you to collect your Login ID and a Password from us to enable you to view / retrieve your records from our site [www.ambalalshares.com](http://www.ambalalshares.com).

We once again thank you.

With warm regards,

Yours faithfully

For AMBALAL SHARES & STOCKS PRIVATE LIMITED.



Chairman

**A copy of the any of the following to be submitted as Proof of Identity /Proof of Address.  
Documents submitted : (Please tick appropriate boxes)**

<b>Document Collected from Applicant</b>			
<b>Sr. No.</b>	<b>Documents Accepted (Copies to be certified as “verified with originals”. In person verification also to be completed by ASSL Staff)</b>	<b>Proof of Identity</b>	<b>Proof of Address</b>
1.	PAN card with Photo ( Mandatory)		
2.	Passport ( Name, Address and Photo side)		
3.	Voter Identification Card (front and back ) / Unique Identification Number (UID) Aadhar card		
4.	Driving License ( Name, address and Photo pages)		
5.	Ration Card		
6.	Bank Passbook / Statement Not more than 3 months old (With latest entry / date of statement with stamp ) Letter from Bank with Banker seal and sign.		
7.	Electricity Bill ( Not more than 3 months old)		
8.	Telephone Bill (Landline) ( Not more than 3 months old )		
9.	Lease and License Agreement / Agreement for Sale		
10.	Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.		
11.	Identity Card / Document with address, issued by Central/ Stat Govt. & its dept. Statutory /Regulatory Authorities. Public Sector Undertakings, Scheduled Commercial Banks. Public Financial Institutions. Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members.		

**Details of POI (Proof of Identity), POA (Proof of Address) submitted:**

<b>Applicant</b>	<b>Document Collected</b>	<b>Unique No of the Document</b>	<b>Place of Issue</b>	<b>Issue Date</b>	<b>Expiry Date</b>
Proof of Identity					
Proof of Address					

**For HO Use**

<b>Application Scrutinised by</b>	<b>Account Activated by</b>	<b>Compliance verified by</b>
Employee Name & No.		
Signature		

**KNOW YOUR CLIENT (KYC)**

**APPLICATION FORM (FOR INDIVIDUALS ONLY)**

<p style="text-align: center;"><b>AMBALAL SHARES &amp; STOCKS PRIVATE LIMITED</b>                  Depository Participant : CDSL                  163, Durga Bhavan II Floor, New Katpadi Road, Vellore - 632 004.                  Tel : 0416 - 2227751 - 55 Fax : 0416 - 2215006                  E-mail : ambalal@ambalalshares.com Web : www.ambalalshares.com                  Compliance officer : A.S. Rajasekaran Phone : 0416 - 2227751 - 55 Email : compliance@ambalalshares.com</p>	<p><b>Application No.</b> _____</p>
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(Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink )

**A. IDENTITY DETAILS (Please see guidelines overleaf)**

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

Name (Mr/Mrs/Ms) : \_\_\_\_\_

**2. Father's/ Spouse Name** (Mr/Mrs) : \_\_\_\_\_

**2. a. Gender** :  Male  Female **b. Marital Status** :  Single/  Married **c. Date of birth** : \_\_\_\_\_ (dd/mm/yyyy)

**3. Nationality** :  Indian  Other \_\_\_\_\_

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

**5. a. PAN**: \_\_\_\_\_ **b. Unique Identification Number (UID)/ Aadhaar, if any**: \_\_\_\_\_  
 Please enclose a duly attested copy of your PAN Card

**6. Proof of Identity submitted for PAN exempt cases** : \_\_\_\_\_ (Please see guideline 'D' overleaf)

**PHOTOGRAPH**

X

✓

Please affix your recent passport size photograph and sign across it

**B. ADDRESS DETAILS(Please see guidelines overleaf)**

**1. Address for correspondence** : \_\_\_\_\_

City/town/village: \_\_\_\_\_ Pincode: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**2. Contact Details:** Tel.(Off.) \_\_\_\_\_ Tel.(Res.) \_\_\_\_\_ Mobile No: \_\_\_\_\_

Fax: \_\_\_\_\_ Email id : \_\_\_\_\_

**3. Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & 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 Landline)  \* Latest Electricity Bill  \*Latest gas Bill  Others \_\_\_\_\_  
 \* Not more than 3 months old **Validity/Expiry date of proof of address submitted** \_\_\_\_\_ (DD/MM/YYYY)

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

City/town/village: \_\_\_\_\_ Pincode: \_\_\_\_\_ State: \_\_\_\_\_ Country: \_\_\_\_\_

**5. Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & 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 Landline)  \* Latest Electricity Bill  \*Latest gas Bill  Others \_\_\_\_\_  
 \* Not more than 3 months old **Validity/Expiry date of proof of address submitted** \_\_\_\_\_ (DD/MM/YYYY)

**C. OTHER DETAILS(Please see guidelines overleaf)**

**1. Gross Annual Income Details (please tick (✓))** : Income Range per annum :  Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs

OR

**Net-worth in ₹.** \_\_\_\_\_ **as on** (date) ..... (DD/MM/YYYY) (Net worth should not be older than 1 year)

**2. Occupation (please tick (✓) any one and give brief details):**

Private Sector service  Public Sector  Government Service  Business  Professional  Agriculturist  Retired  
 Housewife  Student  Forex Dealer  Others (Please specify) \_\_\_\_\_

**3. Please tick, if applicable** :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

For definition of PEP, please refer guideline overleaf.

**4. Any other information** : \_\_\_\_\_

**DECLARATION**

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

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

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

**SIGNATURE OF APPLICANT**



**FOR OFFICE USE ONLY**

**IN PERSON VERIFICATION DONE**

on \_\_\_\_\_ (DD/MM/YYYY)

(Originals verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

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

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

Name of the broker : **AMBALAL SHARES & STOCKS PRIVATE LIMITED**

Signature of the Staff: \_\_\_\_\_

Date : \_\_\_\_\_ Stamp /seal of the intermediary

## 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/ 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 specifically 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, 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.

## Additional KYC Form for Opening a Demat Account

## For Individuals

	<b>AMBALAL SHARES &amp; STOCKS PRIVATE LIMITED</b> DEPOSITORY PARTICIPANT - CDSL DP SEBI REG NO.: IN-DP-CDSL-677-2013 DP ID : 12076000 <b>Regd. Office :</b> 163, Durga Bhavan II Floor, New Katpadi Road, Vellore 632004 . Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006. E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com
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(To be filled by the Depository Participant)

Application No.	Date																			
DP Internal Reference No.																				
DP ID	1	2	0	7	6	0	0	0	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 the following details :

**Holders Details**

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

<b>Name *</b>	
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\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. Although the account is opened in the name of 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 ( Incase the account holder is a 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 Required	<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		
<b>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)</b>			
Do you wish to receive dividend / interest directly in to your 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 Address										
City										
	State									
		Country								
			Pincode							

- (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.

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	c Yes Mobile No. +91_____	c No
	[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>Easi</i>	c Yes. To register for easi, please visit CDSL's 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.	c No

**Nomination Details**

Nomination Registration No.	Dated

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 person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of my / our death.

Full name of the Nominee										
Address										
	City :									
	State									
	Country :									
	PIN code									
Telephone No.										
	Fax No.									
<b>PAN</b>										
	<b>UID</b>									
E-Mail ID										
Relationship with BO (If any)										
Date of birth (mandatory if nominee is a minor)										



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**.




Full name of Guardian of Nominee					
Address					
	City :	State			
	Country :	PIN code			
Telephone No.				Fax No.	
E-Mail ID					
Relationship of Guardian with Nominee					

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

Note : Two witness shall attest signature(s) / thumb impressions(s).

DETAILS OF THE WITNESS		
	FIRST WITNESS	SECOND WITNESS
NAMES OF WITNESS		
ADDRESS OF WITNESS		
SIGNATURE OF WITNESS		

I/We have read the terms & conditions of DP-BO agreement 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).

## **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 Byelaws 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 Byelaws, 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.

	Sole / First Holder	Second Holder	Third Holder
Name			
Signatures	2 ✓	2 ✓	1 ✓

## ANNEXURE - 2.4

### Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to Bos for all debits and for all credits as well.]

#### Definitions:

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

1. "Depository" means Central Depository (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 - 400 001 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 account holders 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 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 from the 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 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)

BO ID	1	2	0	7	6	0	0	0										
	(Please write your 8 digit DP ID)								(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 \_\_\_\_\_  
Sole / First Holder



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



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

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

## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/WE \_\_\_\_\_ residing at \_\_\_\_\_, send greetings.



**Whereas** I/We hold beneficial owner account number \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL), through **Ambalal Shares & Stocks Private Limited** a depository participant registered with Securities and Exchange Board of India (SEBI) as Depository Participant having DP ID - 12076000 and SEBI Registration No. IN-DP-CDSL -677-2013.



**And Whereas** I am / We are desirous to buy and sell securities through **Ambalal Shares & Stocks Private Limited** who is a stock broker registered with SEBI and Member of recognized stock exchange(s).

**And Whereas** I am / We are desirous of appointing **Ambalal Shares & Stocks Private Limited** as my constituted attorney to operate my / our beneficial owner account on my / our behalf for a limited purpose in the manner hereafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I / We do hereby nominate, constitute and appoint **Ambalal Shares & Stocks Private Limited** (hereinafter referred to as "the stock broker") as my true and lawful attorney and authorize it to perform the following functions on my / our behalf:

i. to transfer securities held in my / our aforementioned beneficial owner account(s) or any other account (as per the Schedule I attached) of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades and margin obligations arising out of trades executed by me / us on any recognized stock exchange through the stock broker. However, the said power will be restricted to only transfer of securities towards margin / delivery obligations arising out of trades executed by me / us through the stock broker on any recognized stock exchange, provided that I / We have executed KYC & trading account with the stock broker and opted for such exchanges.

In the event of the Stock Broker acquiring membership of any new Exchange or any Segment of any new / existing Exchange and in the event of my /our executing transactions after executing prescribed KYC with the Stock Broker for such new Segment(s) / Exchange(s), the relevant demat account operated by the Stock Broker shall be added to the above referred list; and I / We shall be deemed to have consented to such addition(s).

ii. to redeem mutual fund units held by me/us in demat form in my / our above beneficiary account in accordance with my / our instructions and to execute DIS for meeting obligations arising out of such instructions.

iii. to apply for various products like Mutual Funds, Public issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral / written / electronic instructions given by me / us to the stock broker.

iv. to pledge the securities in favour of the stock broker for the limited purpose of meeting my / our margin requirements in connection with the trades executed by me / us on any recognized stock exchange through the stock broker.

v. to return to me / us the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me / us.

vi. to send consolidated summary of my scrip-wise buy and sell positions taken with average rates to me / us by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.




I / We ratify the instructions given by the aforesaid stock broker to the depository participant named herein above in the manner specified herein.



I / We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at :

The Compliance Officer,  
 AMBALAL SHARES & STOCKS PRIVATE LIMITED  
 163, Durga Bhavan II Floor, New Katpadi Road,  
 Vellore-632 004.  
 Tamil Nadu, India.

Signed and delivered by the within named Beneficial Owner(s)

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			

In the presence of (Name & Address of witness)

Witness 1 :

Witness 2 :

We Accept  
 For Ambalal Shares & Stocks Private Limited

Authorised Signatory

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

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

### SCHEDULE- I

Account Type	DP ID	DP Name	Client ID







# DIGITAL STATEMENT

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

To,

**AMBALAL SHARES & STOCKS PRIVATE LIMITED**

163, Durga Bhavan II Floor, New Katpadi Road,  
Vellore632004 .  
Tamil Nadu, India.

**Reg : Beneficial Owner (BO) Account No.** \_\_\_\_\_

I / We \_\_\_\_\_

[Name(s) of the BO(s)] had entered into agreement dated \_\_\_\_\_ with you at the time of opening of the aforesaid BO account.




Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I / We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I / We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me / us with statement of my / our BO account. But I / We reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[E-mail address : \_\_\_\_\_ ]

I / We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me / us by acknowledged delivery.

Yours faithfully,

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			



## SCHEDULE OF CHARGES

Account Description	Individual with POA	Individual without POA
	<input type="checkbox"/>	<input type="checkbox"/>
Account Opening	Nil	Nil
Documentation Charges	150	50
Custody	Nil	Nil
Account Maintenance Charges (upfront)	Rs.150/- p.a. For first year & Rs.300/- for subsequent years	Rs.150/- p.a. For first year & Rs.300/- for subsequent years
Transaction Charges (ON Market)	Buy : Nil Sell : Rs.15/- per transaction	Buy : Nil Sell : Rs.25/- per transaction
Transaction Charges (Off Market within Ambalal DP)	Rs.15/- per transaction (Off Market)	Rs.15/- per transaction (Off Market)
Inter DP (Other than Ambalal DP)	0.02% of transaction value MinimumRs. 25/- per transaction	0.02% of transaction value MinimumRs. 25/- per transaction
Dematerialization	Rs. 2.00 per certificate + (Rs.25 per request)+ courier charges at actual	Rs. 2.00 per certificate + (Rs.25 per request)+ courier charges at actual
Rematerialization	Rs. 10.00 per certificate + courier charges at actual	Rs. 10.00 per certificate + courier charges at actual
Pledge & Unpledge	Rs.25.00 to pledger	Rs.25.00 to pledger
Pledge Invocation (pledgee)	Rs.50.00 to pledgee	Rs.50.00 to pledgee
Failed instruction charges	Nil	Nil
Other Charges	Nil	Nil

- The above schedule of charges are exclusive of Service Tax and other levies by Government bodies / statutory authority from time to time.
- The above schedule of charges is based on CDSL charges and fixed by the DP and is subject to revision at the discretion of the DP.
- Transaction statement will be sent monthly, if there is a transaction and a statement of holdings every quarter (or at the request of the client) by courier.
- All payments have to be made favouring Ambalal Shares & Stocks Private Limited. You can pay by local cheque (in places where Ambalal Shares & Stocks Private Limited has a branch) or Demand Draft payable at Vellore. Outstation cheques will not be accepted.
- Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
- Rs.100/- will be levied as penalty in case of non-payment of bills after 15 days from the due date of the payment. The depository services for the account will be temporarily withdrawn.



Signatures

Sole / First Holder



Second Holder



Third Holder

# OPTION FORM FOR ISSUE OF DIS BOOKLET

Annexure 2.5

										Date									
DP ID	1	2	0	7	6	0	0	0	0	Client ID									
Sole/ First Holder's Name																			
Second Holder's Name																			
Third Holder's Name																			

To

## AMBALAL SHARES & STOCKS PRIVATE LIMITED

**Regd. Office :** 163, Durga Bhavan II Floor, New Katpadi Road, Vellore632004 . Tamil Nadu, India.

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) in favour of / with \_\_\_\_\_ (Clearing Member) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.

Yours faithfully,

	First / Sole Holder	Second Holder	Third Holder
Name			
Signatures	<input checked="" type="checkbox"/> ✓	<input checked="" type="checkbox"/> ✓	<input checked="" type="checkbox"/> ✓

**OPTION 2:**

**OR**

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

Yours faithfully,

	First / Sole Holder	Second Holder	Third Holder
Name			
Signatures	<input checked="" type="checkbox"/> ✓	<input checked="" type="checkbox"/> ✓	<input checked="" type="checkbox"/> ✓

----- ( Please tear here ) -----

## ACKNOWLEDGEMENT RECEIPT

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

										Date									
DP ID	1	2	0	7	6	0	0	0	0	Client ID									
Sole/ First Holder's Name																			
Second Holder's Name																			
Third Holder's Name																			

**Depository Participant Seal and Signature**

## AMBALAL SHARES & STOCKS PRIVATE LIMITED

DEPOSITORY PARTICIPANT - CDSL

DP SEBI REG NO.: IN-DP-CDSL-677-2013 DP ID : 12076000

Regd. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore632004 .

Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006.

E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com

(To be filled by the Depository participant)

DP ID	1	2	0	7	6	0	0	0	Client ID									
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--

Name of BO	
Address of BO	
Nomination in favour of	
Registration No.	
Registered on	

Depository Participant seal and signature

( Please tear here )

## AMBALAL SHARES & STOCKS PRIVATE LIMITED

DEPOSITORY PARTICIPANT - CDSL

DP SEBI REG NO.: IN-DP-CDSL-677-2013 DP ID : 12076000

Regd. Office : 163, Durga Bhavan II Floor, New Katpadi Road, Vellore632004 .

Tamil Nadu, India. Ph: 0416 - 2227751 - 55 Fax: 0416-2215006.

E-mail : ambalal@ambalalshares.com Website : www.ambalalshares.com

### Acknowledgement Receipt

Application No.		Date																
-----------------	--	------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

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

Depository Participant seal and signature



# **WE PROTECT YOUR INVESTMENTS**

Regd Office : # 163, Durga Bhavan, II Floor, New Katpadi Road, Vellore – 632004, Tamilnadu, India.  
Tel: +91 416 2227751-55, Fax: +91 416 2215006 Email : [ambalal@ambalalshares.com](mailto:ambalal@ambalalshares.com)

DEPOSITORY PARTICIPANT : CDSL | SEBI REG NO : IN-DP-CDSL-677-2013 | DP ID : 12076000

Investor Grievance Email id : [igassl@ambalalshares.com](mailto:igassl@ambalalshares.com)  
[www.ambalalshares.com](http://www.ambalalshares.com)