

DEMAT ACCOUNT REGISTRATION FORM

INDIVIDUAL



CFS Financial Services Pvt. Ltd.

CIN :

Member : NSE (Capital & F&O Segment) & BSE
SEBI Regn. No.: INZ 000224536

(Depository Participant - NSDL)
DP ID: IN301918 • DP SEBI Regn. No.: IN-DP-NSDL-138-2015

Registered & Corporate Office:
F-12, Green Park Main, New Delhi-110016
Tel.: 011-40502714

Dealing Office:
DSS No. 13-14, HUDA Market, Sector-30, Faridabad-121001 (Haryana)
Tel.: 0129-4263636 • E-mail: dp@cfstradecity.in • Website : www.cfstradecity.in

Client Name Client ID

DIS Book No. To Issued Date

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 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 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.
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.

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3

State* ZIP / Post Code* City / Town / Village* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

 [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **CFS Financial Services Pvt. Ltd.**

Code

[Institution Stamp]

PART II - APPLICATION FOR OPENING DEPOSITORY ACCOUNT (FOR INDIVIDUAL)



CFS Financial Services Pvt. Ltd.

DP : NSDL • DP ID : IN301918 • SEBI REGN. NO.: IN-DP-NSDL-162-2000

Dealing Office: DSS No. 13-14, HUDA Market, Sector-30, Faridabad - 121001 (Haryana)

Tel.: 0129-4263636 • E-mail: dp@cfstradecity.in • Website : www.cfstradecity.in

(To be filled by the Depository Participant)

Client ID		Date	D	D	M	M	Y	Y	Y	Y
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I/We request you to open a depository account in my/our name as per following details:

(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)
Brief Details			

B. For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name	PAN								
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C. TYPE OF ACCOUNT

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Specify) _____

D. GROSS ANNUAL INCOME DETAILS

Income Range per annum (please tick any one)

<input type="checkbox"/> Below Rs. 1 Lac	<input type="checkbox"/> Rs. 1 - 5 Lac	<input type="checkbox"/> Rs. 5 - 10 Lac	<input type="checkbox"/> Rs. 10 - 25 Lac	<input type="checkbox"/> More than Rs. 25 Lac
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E. In Case of NRIs/Foreign Nationals

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
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F. BANK DETAILS

1.	Bank Account Type	<input type="checkbox"/> Saving A/c <input type="checkbox"/> Current A/c <input type="checkbox"/> Other (Pl. Specify) _____									
2.	Bank Account Number										
3.	Bank Name										
4.	Branch Address										
		City/Town/Village					Pin Code				
		State					Country				

5.	MICR Code																		
6.	IFSC																		

G. Please tick, if applicable : Politically Exposed Person (PEP) Related to Politically Exposed Person (RPEP)

H. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	SMS Alert facility -[Mandatory if you are giving Power of Attorney (PoA/DDPI). Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No.	Holder	Yes
	1.	Sole / First Holder	<input type="checkbox"/>
	2.	Second Holder	<input type="checkbox"/>
	3.	Third Holder	<input type="checkbox"/>
4.	Mode of Receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 4 and ensure that email ID is provided in KYC Application Form)	

Sole/First Holder
Photograph
& Sign. across it.

Second Holder
Photograph
& Sign. across it.

Third Holder
Photograph
& Sign. across it.

I. GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

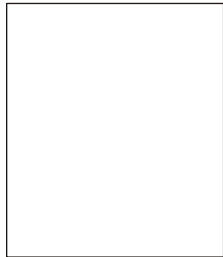
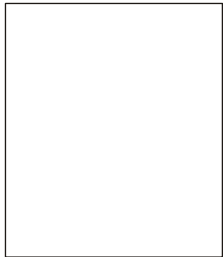
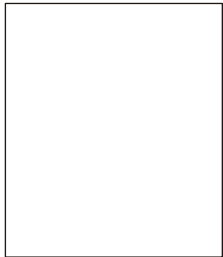
Guardian Name														
PAN														
Relationship of Guardian with Minor														

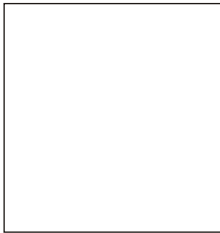
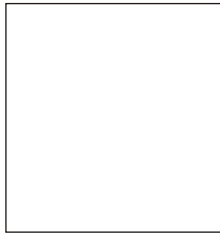
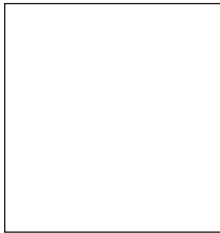
J. NOMINATION OPTION

<input type="checkbox"/> I/We wish to make a nomination. [Details are provided at FORM 10]	<input type="checkbox"/> I/We do not wish to make a nomination.
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NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / our death.




Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s)			
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details [Please tick any one of following and provide details of same]			
<input type="checkbox"/>	Photograph			
<input type="checkbox"/>	Signature			
<input type="checkbox"/>	PAN			
<input type="checkbox"/>	AADHAAR			
<input type="checkbox"/>	Saving Bank A/c No.			
<input type="checkbox"/>	Proof of Identity			
<input type="checkbox"/>	Demat Account ID			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :				
8.	Date of Birth {in case of minor nominee(s)}			
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10.	Address of Guardian(s)			
	PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			
13.	Relationship of Guardian with nominee			

14. Guardian Identification details - [Please tick any one of following and provide details of same]			
<input type="checkbox"/> Photograph			
<input type="checkbox"/> Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> AADHAAR			
<input type="checkbox"/> Saving Bank A/c No.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat Account ID			

Signature of Witness for Nomination															
Name of the Witness			Address of Witness				Signature of Witness								
							Date	D	D	M	M	Y	Y	Y	Y

DECLARATION

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

	Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signatures			

Notes

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Notes :
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. Aminor 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 of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - v. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - vi. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, 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.
4. For receiving Statement of Account in electronic form :
 - i. Client must ensure the confidentiality of the password of the email account.
 - ii. Client must promptly inform the Participant if the email address has changed.
 - iii. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI & 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.

I/We acknowledge the receipt of copy of the "Rights and Obligations of the Beneficial Owner and Depository Participant".

Signature of Account Holder(s)



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

SCHEDULE OF CHARGES

CFS Financial Services Pvt. Ltd.

DP: NSDL-DPID: IN301918-SEBI REGN. NO: IN-DP-NSDL-138-2015

Dealing Office: F-12, Green Park Main, New Delhi-110016

Tel.: 011-40502714 • E-mail: dp@cfstradecity.in • Website: www.cfstradecity.in



SCHEDULE OF DEMAT CHARGES (w.e.f.01-04-2024)

Particulars	NORMAL	BSDA	Basis of Recovery
1. A/c Opening Charges	Nil	Nil	
2. Stamp Paper Cost	As Actual	As Actual	Payable Up-front at the time of receiving request
3. Annual Maintenance Charge	Rs. 1000/- p.a. (For Individual) Rs.1500/-p.a. (For Corporate)	Value of Holdings in Demat Account (Debt as well as other than debt securities combined) Up to 4 lakh-NIL, More than 4 lakhs but up to 10 lakhs-100, More than 10 lakhs- Not a BSDA. Regular AMC may be levied. Nil Value of Holding 50000, 100 p.a Value of Holding 50001-200000	To be recovered the same as and when your first transaction occur. The charges will be recovered through your NSE/BSE ledger.
4. Transaction Charges Sell Market And Off Market (Non-Speed-e clients)	(NSDL Charges 4/-) Rs.50/-per Scrip/ISIN upto value of 2.5Lac, 0.025% above value of Rs. 2.5 Lac	Rs.50/- per Scrip/ISIN upto value of 2.5Lac, 0.025% above value of Rs. 2.5 Lac	Transaction charges will be recovered from NSE/BSE transaction ledger along with each transaction whatever market, off market or inter settlement.
5. Transaction Charges Sell Market and Off Market (Speed-e clients)	(NSDL Charges 4/-) Rs.25/-per Scrip/ISIN upto value of 2.5Lac, 0.025% above value of Rs.2.5 Lac. Only market delivery	Rs.20/- per Scrip/ISIN upto value of 2.5 Lac, 0.025% above value Of Rs. 2.5Lac. Only market delivery	Transaction charges will be recovered from NSE/BSE transaction ledger along with each transaction whatever market, off market or inter settlement.
6. Dematerialisation Charges (Upfront)	0.75% of Total Value Rs.80/- courier charges	0.75% of Total Value Rs.80/- courier charges	Payable Up-front at the time of delivering share certificate
7. Rematerialisation Charges per Company/ISIN	Rs.50/- Rs.150/-courier charges	Rs.50/- Rs.150/-courier charges	Payable Up-front at the time of receiving certificates
8. Pledge (Creation/Closure/Invocation)	Rs.50/-per Scrip/ISIN	Rs.50/-per Scrip/ISIN	Payable Up-front at the time of receiving request
9. DRF Rejection	Rs.80/-	Rs.80/-	Payable Up-front at the time of returning certificates
10. Rejection/Failed Instruction	Nil	Nil	
11. Instruction Booklet	Rs. 50/- for 10Slips Rs.100/-for25Slips	Rs. 50/- for10Slips Rs.100/-for25Slips	Payable Up-front at the time of receiving request
12. Modification Client Master	Rs.150/-	Rs.150/-	Payable Up-front at the time of receiving request
13. Extra Correspondence	Rs.200/-	Rs.200/-	Payable Up-front at the time of receiving request
14. Extra Statement Charges	Rs.50/-per sheet	Rs.50/-per sheet	Payable Up-front at the time of request

****GST would be charged separately as per the current applicable rate.**

TERMS & CONDITIONS

- All BOs opting for the facility of BSDA, shall register their mobile number for availing the SMS alert facility for debit transactions.
- Depository Charges of Broking Clients will be debited to their Trading account.
- Any other service, which is not mentioned above, will be charged separately as per the rates applicable from time to time. Out of pocket expenses including courier charges for overseas consignment will be charged extra on actual basis. GST as applicable would be levied.
- All charges are subject to revision at the discretion of CFS Financial Services Pvt. Ltd. and revision in NSDL charges, after giving a notice of 30 days.
- All charges are payable on monthly basis and delayed payment will be liable for interest @2% per month.
- Any service not listed above will be charged extra.
- In case of account closure the AMC shall be levied/collected upto that quarter in which the account is closed. The AMC for balance quarters shall be refunded.

Note. In case value of securities exceeds Rs. 200000/- the BSDA will automatically converted into normal demat account and charges as mentioned in Normal Scheme as opted by the client shall become applicable.

FOR CFS Financial Services Pvt. Ltd.

HOLDER'S SIGNATURES:

 (Authorised Signatory)



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

SPEED-e APPLICATION FORM (For Password Users)

ANNEXURE-1

To,

CFS FINANCIAL SERVICES PVT. LTD.

Dealing Office: DSS No. 13-14, HUDA Market, Sector-30,
Faridabad-121001 (Haryana)

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

DP ID	I	N	3	0	1	9	1	8	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

Dear Sirs,

I/We wish to register for SPEED-e facility as per the details given below. I/We are also enclosing letter from the prenotified account holder(s) in the prescribed format. I/We request you to activate my/our account.

Registration Request No. :

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

Account Details

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Pre-Notified Account(s)*

1. Clearing Member Name : _____

CM-BP-ID :

I	N							
---	---	--	--	--	--	--	--	--

2. Clearing Member Name : _____

CM-BP-ID :

I	N							
---	---	--	--	--	--	--	--	--

3. Clearing Member Name : _____

CM-BP-ID :

I	N							
---	---	--	--	--	--	--	--	--

*strike-off whichever field is not applicable

To be Signed by the account holder(s).

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

To be Signed by Power of Attorney (POA) Holder (if applicable)

Holder(s)	Name	Signature
POA Holder		

(Acknowledgement)

Received SPEED-e application as per the details given below:

Registration No. : _____

Name of POA : _____

Account Details

Client ID : _____

DP ID : _____

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

(DP's Stamp & Signature)

This Agreement is made this _____ day of _____ ("This Agreement")

By and between _____ residing/situated
at _____ having account
no. _____ (here in after called "the Client")

And _____ situated at
_____ (here in after called "the Participant")

In this Agreement, the Client and the Participant shall be collectively referred to as "the Parties" and severally as "the Party".

WHEREAS

- A. The Participant is a duly registered depository participant and is part of the NSDL's depository system.
- B. The Participant has been registered with NSDL to offer SPEED-e, a common infrastructure facility provided by NSDL, which enables account holders to issue instructions to depository participants through the Internet. The Participant has agreed to receive instructions relating to the accounts and to provide information services relating to the accounts of various Client through Internet.
- C. The Client has expressed its interest in availing of the services provided by the Participant using SPEED-e.
- D. The Parties have executed the Depository Services Agreement pursuant to which the Client owns, controls and operates accounts with NSDL through the Participant.
- E. The Parties have agreed to record in this Agreement the terms and conditions upon which the Client may participate in SPEED-e.

NOW THEREFORE in consideration of their mutual covenants and promises contained herein, and for good and valid consideration, the receipt, sufficiency and adequacy of which is hereby acknowledged, the Parties agree as under:

1) Definitions and Interpretation

In this Agreement, words and expressions listed in this Clause shall carry the meaning assigned to them in this Clause:

"Business Rules" shall mean the business rules prescribed by the NSDL in pursuance of the Bye-Laws.

"Bye-Laws" shall mean the Bye-laws of NSDL.

"Clients" shall mean persons with whom the Participant has executed valid Depository Services Agreement.

"Depository Services Agreement" shall mean the "Agreement between the Participant and the Person seeking to open an account with the Participant" signed by the Client at the time of opening the account pursuant to Bye Law 9.1.5 and as prescribed in Annexure B of the Bye-Laws.

"NSDL" shall mean the National Securities Depository Limited, a depository registered with the Securities and Exchange Board of India under the Depositories Act, 1996, of which the Participant is a depository participant.

"PIN" shall mean the Personal Identification Number, either assigned to the Client or chosen by the Client pursuant to this Agreement, which may be necessary for the Client to access SPEED-e.

"Possessed Object" shall mean a smart card with a silicon chip or such other means capable of storing information and affixing digital signature which may be used by the Client for authorising any instruction issued by the Client to the Participant through SPEED-e.

"Pre-notified Accounts" shall mean accounts of such type and number as to which NSDL may permit the Client to transfer securities from the Client's account, if the Client uses only Remembered Information for the purposes of accessing SPEED-e.

"Remembered Information" shall mean and include such confidential information such as password, PIN or such other information used for authentication of the Client while making use of SPEED-e, as may be generated by the Client for access to SPEED-e.

"SPEED-eN" shall mean the Internet-based common infrastructure facility provided by NSDL, which is being used by the Participant to accept Instructions from the Client and to provide information about Client's account in relation to the operation of the Client's account.

"this Agreement" shall mean this agreement between the Parties hereto and shall include the recitals, annexures and schedules, if any to this Agreement, and any modification or amendment hereof, in accordance with the terms hereof.

"Working Day" shall mean any day as defined in the Business Rules of NSDL.

In this Agreement, unless the context otherwise requires:




- (a) the singular includes the plural and vice versa;
- (b) words importing any gender include the other gender;
- (c) reference to any statute, ordinance or other law includes all regulations and other instruments and all consolidations, amendments, re-enactments or replacements for the time being in force;
- (d) all headings, bold typing and italics (if any) have been inserted for convenience of reference only and do not define limit or affect the meaning or interpretation of this Agreement;
- (e) reference to a Recital, Schedule, Annexure or Exhibit is to a Recital, Schedule, Annexure or Exhibit of or to this Agreement;

- (f) reference to a person includes a natural person, body corporate, unincorporated association, government or governmental, semi governmental or municipal entity; and
 - (g) reference to a party means a party to this Agreement and includes that party's successors, legal / personal representatives and permitted assignees,
- 2) The Participant shall from time to time prescribe to the Client the minimum specification of hardware and software that will be required by the Client to access SPEED-e. The Participant represents that the Participant has fully complied with all the technical and operational requirements prescribed for the Participant by NSDL.
 - 3) The Client shall have an option of either having a Possessed Object for validation of the Client's access to SPEED-e or generating the Client's own Remembered Information for validation of such access by the Client. From time to time, the Participant may prescribe to the Client, in accordance with instructions received by the Participant from NSDL, such measures as may be required to ensure the safety and security of the Client's access to and usage of SPEED-e and the Client shall abide by the same.
 - 4) The Client agrees to take adequate safety measures for accessing SPEED-e, including but not limited to:
 - a) In the event the Client has opted for Remembered Information for access to SPEED-e, the Client shall take all the necessary steps to ensure confidentiality and secrecy of the Client's Remembered Information used for authentication of the Client and shall not reveal the same to any employee, agent or official of the Participant or to any other person. The Client acknowledges that failure to adhere to safety and security measures prescribed by NSDL and the Participant could lead to a loss of confidentiality and secrecy of the Remembered Information, thereby exposing the Client to the risk of financial losses.
 - b) In the event the Client has opted for the Possessed Object, for the purpose of identifying the Client in the process of authenticating the Client's access to SPEED-e, the Client shall take all necessary steps to ensure that the Possessed Object is kept safely with itself and not to part with possession of the same to any third party. The Client shall also ensure that the safety instructions issued for the usage of the Possessed Object are strictly adhered to.
 - 5) The Client acknowledges that in the interests of the security of the Client's usage of SPEED-e, if the Client does not opt for Possessed Object as a means of authenticating the Client's access to SPEED-e, the Client shall be entitled to transfer securities only to the Pre-notified Accounts. Further, the Client shall submit to the Participant an undertaking in the enclosed format from the holder of the pre-notified account.
 - 6) The Client acknowledges that all instructions received by the Participant, authenticated pursuant to use of Remembered Information or Possessed Object shall be conclusive evidence of such instructions having been issued by the Client and shall be attributed to the Client. The Participant shall not be held liable for acting on the instructions so received.
 - 7) If the Client has reason to believe that the confidentiality of the Remembered Information has been compromised or that the Possessed Object has been lost/misplaced/stolen, the Client shall intimate the Participant forthwith about such compromise or loss. The Participant shall take best efforts to forthwith disable the Client's access to SPEED-e not later than one Working Day of receipt of such intimation from the Client. However, if any instructions are received prior to such disablement, the Participant shall not be liable, for losses, if any, arising out of execution of such instructions.
 - 8) In consideration of the access to SPEED-e, the Client agrees to pay such charges to the Participant as may agreed at the time of entering into this Agreement. The Participant shall reserve the right to revise the charges by giving the Client adequate advance notice, in no event lesser than thirty (30) days, to be issued either in writing or through intimation issued through SPEED-e.
 - 9) The Client agrees that in the event of the Client desiring to operate any joint account through SPEED-e, it shall be a condition precedent for usage of SPEED-e that all the joint holders shall execute a Power of Attorney favouring anyone individual who shall be deemed to be the user of the Remembered Information or the Possessed Object for access to SPEED-e and issue of instructions to the Participant through SPEED-e. The Client hereby ratifies and upholds all such instructions issued through SPEED-e using such Remembered Information or Possessed Object, as the case may be. In the event the Client changes the holder of the power of attorney, the Client shall deposit the new power of attorney with the Participant and ensure that authority to access SPEED-e is transferred from the old power of attorney holder to the new power of attorney holder. The usage of and access to SPEED-e using the Remembered Information or Possessed Object, as the case may be, shall be deemed to have been made by the holder of the power of attorney at the time of such access and use.
 - 10) The Client shall be entitled to change the Remembered Information on SPEED-e from time to time.
 - 11) The Client shall enter all its instructions in a timely manner to ensure that the same are capable of being received by the Participant by accessing SPEED-e at least one clear Working Day prior to the execution date expected by the Client. (For eg; if the execution date is on a Friday, the instructions must be received by SPEED-e latest by Wednesday) The receipt of instructions by SPEED-e shall be indicated by means of message receipt confirmation screen that shall be generated on the Client's computer screen, which shall be capable of being printed out for the Client's record. If the instructions are received by SPEED-e before the aforesaid deadline, the Participant shall be fully responsible for executing the same within the prescribed deadline. If the instructions are received by SPEED-e after the aforesaid deadline, the instructions may be executed by the Participant on a best-efforts basis, and the Participant shall not be liable for non-execution of the same. The Client further acknowledges that the Client shall not have any right to any claim against either the Participant or NSDL for losses, if any, incurred due to non-execution of such instructions received late and executed on a best-effort basis. In the event of any dispute relating to the date and time of receipt of the instructions on SPEED-e, NSDL's records shall be conclusive evidence and the Parties agree that NSDL's decision on the same shall be final and binding on both Parties.
 - 12) The Participant shall promptly inform the Client about the status of the instructions received pursuant to this Agreement, but in no case later than 12.00 noon of the next Working Day of execution date of instructions.
 - 13) The right to use SPEED-e by a Client cannot be assigned or transferred by the Client under any circumstances, otherwise than through valid issue of a power of attorney.
 - 14) The Client may request for termination of this Agreement at any time by giving a notice in writing or through SPEED-e to the Participant. The Participant shall terminate the service within fifteen (15) days of receipt of such notice.

- 15) This agreement unless terminated earlier shall be deemed to be terminated immediately on termination of the Depository Services Agreement.
- 16) The Client agrees to indemnify, keep indemnified and hold the Participant and NSDL harmless from any loss, damage, claim, suits, legal proceedings, investigations, expenses of every kind and any other liability whatsoever, including reasonable attorney's fees and fees of such experts as may be become necessary for NSDL and I or the Participant to engage, caused due to the availing of the services by the Client pursuant to this Agreement in any and all circumstances including without limitation, the following:
- Falsehood or misrepresentation of any nature by the Client (or any person acting on behalf of the Client);
 - Failure to use a trustworthy system for access to Speed-e
 - Failure to take the precautions necessary to prevent the compromise, loss, disclosure, modification, or unauthorised use of the Client's Remembered Information, Possessed Object or the private key used to execute the Client's digital signature.
- 17) Notwithstanding anything contained herein, the Client recognises and acknowledges that the Participant may, in accordance with instructions received by the Participant from NSDL, prescribe such other security measures as it deems fit, in replacement of or supplementing the validation process through the use of Remembered Information or Possessed Objects, including without limitation the use of biometrics and such other methods as would validate the identity of the Client for access to the SPEED-e system. The Client agrees that a condition precedent for the Client's access to SPEED-e is that the Client shall provide such information, data, and access to its representatives and personnel, as may be designated by the Client as the users of the SPEED-e system in order to enable Participant to generate such biometric criteria or other criteria in accordance with the security measures prescribed by Participant, in accordance with instructions received by the Participant from NSDL.
- 18) The Participant may withdraw the access of the Client to SPEED-e at any time provided a notice of at least thirty (30) days is given to the Client. The Participant may suspend or terminate the service without prior notice if the Client has breached any of the terms and conditions of this Agreement or the Depository Services Agreement. or if the Participant learns of the death, bankruptcy, lunacy or loss of legal capacity of the Client.
- 19) Any dispute or difference between the Parties shall be resolved solely by means of reference to binding arbitration under the arbitration mechanism as provided in the Bye-Laws and Business Rules.
- 20) The above terms and conditions are in addition to and do not undermine in any manner whatsoever the terms and conditions forming a part of the Depository Services Agreement.
- 21) Each Party shall bear its own costs in the execution of this Agreement.

IN WITNESS WHEREOF, THE PARTIES HAVE EXECUTED THIS AGREEMENT BY SIGNIFYING THEIR ASSENT HERETO BY AFFIXING THEIR SIGNATURES HERETO AS OF THE DAY AND YEAR FIRST HEREINABOVE WRITTEN:

Signed and Delivered by

_____ (Sole/First Holder Name)	 _____ Sole/First Holder Signature	_____ (Witness)
_____ (Second Holder Name)	 _____ Second Holder Signature	_____ (Witness)
_____ (Third Holder Name)	 _____ Third Holder Signature	_____ (Witness)

(For and behalf of the Client)
 (to be signed by either sole holder or by each of the joint holder)

I confirm having received the Power of Attorney and have read and understood the terms of this Agreement (if applicable)

 (Name & Signature)

Power-of-Attorney Holder

(to be signed by the Power of Attorney holder operating the account appointed by either sold holder or joint holders)

Signed and delivered by

 (for and behalf of the Participant)

 (Witness)

Date : _____

Place : _____

Name of Client : _____

Address : _____

Depository Account No. : (DP ID & Client ID)

Dear Sir / Madam,

We acknowledge your request to nominate our depository account as a pre-notified account for the purpose of receiving credits from your account. We have no objection for the same. We agree that if any securities are moved to our account which are not due to us for any reasons including but not limited to an error or fraud, we undertake to immediately return the securities to you. The details of our account are as under:

CM-BP ID	I	N	5	5	8	5	7	0
	CM NAME - CFS FINANCIAL SERVICES PVT. LTD.							

Yours faithfully,

CFS Financial Services Pvt. Ltd.

Authorize Signatories

I/We hereby nominate the above holder as our pre-notified account where securities can be credited from my/our account using the common infrastructure through internet.



Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

Authorized Signatory (ies)

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 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

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

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 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.
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.



CFS Financial Services Pvt. Ltd.

CIN :

Member : NSE (Capital & F&O Segment)
SEBI Regn. No.: INB 230769530 / INF 230769530

(Depository Participant - NSDL)
DPID : IN301918 • DP SEBI Regn. No.: IN-DP-NSDL-138-2015

Registered & Corporate Office :
F-12, Green Park Main, New Delhi-110016
Tel.: 011-40502714

Dealing Office :
DSS No. 13-14, HUDA Market, Sector-30, Faridabad-121001 (Haryana)
Tel.: 0129-4263636 • E-mail: dp@cfstradecity.in • Website : www.cfstradecity.in