

# Indus Portfolio Private Limited

INDUS SHARESHREE PVT. LTD.

CLIENT NAME

CLIENT ID

CLIENT CODE

APPLICATION FORM NO.

BRANCH CODE



## APPLICATION FORM FOR OPENING CDSL DEPOSITORY ACCOUNT

DEPOSITORY



## **GENERAL INSTRUCTIONS FOR DP A/C**

1. All communications shall be sent at the correspondence address of the Sole/First holder only.
2. For receiving Statement of Account in electronic form the client must ensure that :  

**INDUS SHARESHREE PVT. LTD.**

  - I. The confidentiality of the password of the email account.
  - II. Must inform the Participant if the email address has changed.
3. Client may opt to terminate the above facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. 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.
5. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
6. Strike off whichever is not applicable in this format.
7. Instructions for Nomination :

- a) The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
  - b) A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - c) Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created / dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family, etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - d) Nomination in respect of the beneficiary owner account stands rescinded upon closure of beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - e) Transfer of securities in favour of Nominee(s) shall be valid discharge by the depository against the legal heir.
  - f) The cancellation of nomination can be made by individuals 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 and 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.
  - g) 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(s).
  - h) Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
  - i) Savings bank account details shall only be considered if the account is maintained with the same participant.
8. Stamp Paper of ₹ 100/- or higher value as applicable is to be attached with the Fax Indemnity Agreement. First page of the stamp paper is to be typed as under and to be signed by the DP and Client.
- "This Non Judicial Stamp Paper forms Part & Parcel of Enclosed Fax Indemnity Agreement Between INDUS PORTFOLIO Ltd. DP-NSDL / CDSL and its Client".
- General Note :  
✓ INDICATES THE PLACE TO BE SIGNED BY THE CLIENT.



**Annexure - 1**  
**ACCOUNT OPENING KIT**  
**INDEX**

**INDUS SHARESHREE PVT. LTD.**

S. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form (A)	CKYC/KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-6
	(B)	DP KYC form - Document captures the basic information, nomination.	7-16
	(C)	Terms and Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL.	17-18
	(D)	Option Form for Issue of DIS Booklet ; Terms and Conditions for availing Transaction Using Secured Testing (TRUST) Service offered by CDSL.	19-21
2.	Rights and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	22-25
3.	BSDA Declaration & Tariff Sheet	Declaration for Basic Services Demat Account (BSDA) ; Tariff Sheet	26-27
4.	FATCA	FATCA-CRS Declaration	28
5.	Mobile and Email Declaration		29
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**CHECK LIST**

1. (i) Date ..... (ii) Place .....
2. AMOUNT - CHEQUE / CASH ₹ .....
3. RECEIPT NO.-



INDUS SHARESHREE PVT. LTD.

**General Instructions:**

- Fields marked with '\*' are mandatory fields.
- Tick '✓' wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section**

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**

- To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

**F Clarification / Guidelines on filling 'Contact details' section**

- Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.

**G Clarification / Guidelines on filling 'Related Person details' section**

- Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section**

- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.



**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.

- D) Please read section wise detailed guidelines / instructions at the end.  
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

Application Type\*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal☐ Simplified (for low risk customers)☐ Small**1. PERSONAL DETAILS** (Please refer instruction A at the end)

Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	DD - MM - YYYY		
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T- Transgender		
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others		
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O- Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B- Business <input type="checkbox"/> X- Not Categorised		

PHOTO



Signature / Thumb Impression

**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (If issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	ISO 3166 Country Code of Birth* <input type="text"/>

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	DD - MM - YYYY
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	DD - MM - YYYY
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**4. PROOF OF ADDRESS (PoA)\*****4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/> please specify	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*	<input type="text"/>	City / Town / Village*	<input type="text"/>
Line 2	<input type="text"/>	State / U.T Code*	<input type="text"/>
Line 3	<input type="text"/>	ISO 3166 Country Code*	<input type="text"/>
District*	<input type="text"/>	Pin / Post Code*	<input type="text"/>



☐ 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*			City / Town / Village*					
							State / U.T Code*			ISO 3166 Country Code*		

Line 1\* ☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*											Same as Correspondence / Local Address details									
Line 2																				
Line 3																				
State*											City / Town / Village*									
											ZIP / Post Code*									
											ISO 3166 Country Code*									

[illegible]

Related Person Type\* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Prefix First Name Middle Name Last Name

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="checkbox"/> D- Driving Licence	<input type="text"/>		
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>		

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

Documents Received ☐ Certified Copies **IPV Done By**

KYC VERIFICATION CARRIED OUT BY

Date                       -  -

Emp. Name           

Emp. Code           

Emp. Designation   

Emp. Branch         

[Employee Signature]

### INSTITUTION DETAILS

Name INDUS PORTFOLIO PVT. LTD

Code

**INITIS SHARESHREE PVT. LTD**

[Institution Stamp]







**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 authorised to deal in securities on behalf of company/firm/others.
2. Copies of all 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 authorised 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 of 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. 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.

**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/Unique Identification Number (UID)/ Aadhaar Letter/Registered lease or Sale Agreement of Residence/Driving License/ Flat Maintenance Bill/Insurance Copy.

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

Types of Entity	Documentary Requirements
<b>Corporate</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> 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). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Partnership firm</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of Partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners.
<b>Trust</b>	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
<b>HUF</b>	<input type="checkbox"/> PAN of HUF. <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
<b>Unincorporated association or a body of individuals</b>	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Banks/ Institutional Investors</b>	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Foreign Institutional Investors (FII)</b>	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Army/Government Bodies</b>	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
<b>Registered Society</b>	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

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, 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 ₹ 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 authorised 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, authorised 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.



**Details of Promoters / Partners / Karta / Trustees and Whole Time Directors forming part of Know Your Client (KYC) Application Form for Non-Individuals**

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

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Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors,etc)	Photograph

**Name & Signature of the Authorised Signatory(ies)**

**Date**

D	D	M	M	Y	Y	Y	Y
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**(Depository Participant - NSDL/CDSL)**

**Member : NSE / BSE / MCX**

**Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218**

**Fax: 011-47671222. Email : [dp@indusinvest.com](mailto:dp@indusinvest.com). Web.: [www.indusinvest.com](http://www.indusinvest.com)**

### Additional KYC Form for Opening a Demat Account

### For Individuals

(To be filled by the Depository Participant)

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

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

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

### **Holders Details**

[illegible]

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

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

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

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

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

**I/ We** wish to receive dividend / interest directly in to **my** bank account as given below through ECS (If not marked, the default option would be 'Yes')  
 [ECS is mandatory for locations notified by SEBI from time to time ]

☐ Yes ☐ No

### Bank Details [Dividend Bank Details]

Bank Details [Dividend Bank Details]	
Bank Code (9 digit MICR code)	
IFS Code (11 character)	
Account number	



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

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

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

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.

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



**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

<b>INDUS PORTFOLIO (P) LTD.</b> Member: NSE / BSE / MCX, Depository Participant-NSDL/CDSL Corp. Off.: G-65, Balli Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218 Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com										<b>FORM FOR NOMINATION</b> (To be filled in by individual applying singly or jointly)																								
Date	D	D	M	M	Y	Y	Y	Y	Client ID																									
UCC																																		
I/We wish to make a nomination. [As per details given below]																																		
<b>Nomination Details</b>																																		
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our 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 <input type="checkbox"/> (If not equally, please specify percentage)							%					%					%														
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																																		
3	Relationship With the Applicant (If Any)																																	
4	Address of the 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 & Signature									Photograph of 1st Nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>					Photograph of 2nd Nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>					Photograph of 3rd Nominee  <div style="border: 1px solid black; padding: 5px; transform: rotate(-15deg); display: inline-block;">Signature of Nominee across photograph</div>														
										Signature						Signature						Signature												
<input type="checkbox"/> PAN																																		
<input type="checkbox"/> Aadhaar																																		
<input type="checkbox"/> Saving Bank Account 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))										D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y



9	Name of Guardian (Mr./Ms.) (in case of minor nominee(s))		
10	Address of Guardian		
	PIN Code		
11	Mobile/Telephone no. of Guardian		
12	Email ID of Guardian		
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 & Signature	Photograph of 1st Guardian  Signature of Guardian across photograph	Photograph of 2nd Guardian  Signature of Guardian across photograph
		Signature	Signature
		Signature	Signature
	<input type="checkbox"/> PAN		
	<input type="checkbox"/> Aadhaar		
	<input type="checkbox"/> Saving Bank Account No.		
	<input type="checkbox"/> Proof of Identity		
	<input type="checkbox"/> Demat Account ID		
		Name(s) of Holder(s)	Signature(s) of Holder(s)
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			
		Signature of Witness for Nomination	
		Address	Signature of Witness
Name of the Witness			
		Date	D D M M Y Y Y Y

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.  
The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s).

INDUS SHARESHREE PVT. LTD.



**INDUS SHARESHREE PVT. LTD.****Declaration Form for opting out of nomination**

**[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

To	Date								
Indus Portfolio (P) Ltd., G-65, Bali Nagar, New Delhi-110015									
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
<b>Name and Signature of Holder(s)*</b>									
1. _____ 2. _____ 3. _____									

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature



The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

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

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

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

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

#### **Acknowledgement Receipt**

**Application No.:**

**Date:**

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

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

#### **Depository Participant Seal and Signature**

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

#### **Declaration by HUF**

As our HUF firm wishes to open with your DP/Trading in the said name \_\_\_\_\_  
we beg to say that the first signatory to this letter, i.e., \_\_\_\_\_  
is the karta of the joint family and other signatories are that adult co-parceners of the said family.  
We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other hereto in the  
interest and for the benefit of the entire body of co-parceners of the joint family, We all undertake that the DP/Trading from the said  
family shall be recoverable personally from all or any of us and for the entire family the first signatory is the karta, including the share  
of minor co-parceners.  
In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm under the said  
Act.  
We hereby undertake to inform the DP and Trading of the death or birth of a co-parcener of any change occurring at any time in the  
membership of our joint family during the currency of the account.

#### **LIST OF FAMILY MEMBERS/CO-PARCENERS**

S.NO.	NAME OF CO-PARCENER/ MEMBER	GENDER	D.O.B.	RELATION WITH KARTA	WHETHER CO-PARCENER/ MEMBER	SIGNATURE OF ADULT CO-PARCENERS

Name and Signature of Karta

**INDUS PORTFOLIO (P) LTD. INDUS SHARESHREE PVT. LTD.**

Annexure 2.2

(Depository Participant - NSDL/CDSL)

Member : NSE / BSE / MCX

Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218

Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com

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

(To be filled by the Depository Participant)

Application No.		Date									
DP Internal Reference No.											
DP ID										Client ID	

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

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

**Holders Details**

Sole / First Holder's Name		Search Name		PAN																	
				UCC																	
				Exchange Name & ID																	
Second Holder's Name				PAN																	
				UID																	
Third Holder's Name				PAN																	
				UID																	

\* Exchange ID

Name *	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural person, 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**
☐ Body Corporate   ☐ Banks   ☐ Trust   ☐ Mutual Fund   ☐ OCB   ☐ FII  
☐ CM   ☐ FI   ☐ Clearing House   ☐ Other (Specify)
**To be filled by the DP**

SEBI Registration No. (If Applicable)		SEBI Registration date												
RBI Registration No. (If Applicable)		RBI Approval date												
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)													

I / We instruct the DP to receive wach 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 further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be Physical)		<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic



**Clearing Member Details (To be filled by CMs only)**
**INDUS SHARESHREE PVT. LTD.**

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

I / We wish to receive dividend / interest directly in to my bank account given below through ECS (if not marked, the default option would be 'Yes') [ ECS is mandatory for locations notified by SEBI from time to time]

☐ Yes ☐ No

**Bank Details [ Dividend Bank Details ]**

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

1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
2. Photocopy of the Bank Statement having name and address of the BO
3. Photocopy of the Passbook having name and address of the BO, (or)
4. Letter from the Bank.

In case of options (2), (3) and (4) above, MICR code of the branch should be present / mentioned on the document.

**Other Details**

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

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA))] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
	To register for <i>easi</i> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.

**INMIS SHARESHREE PVT. LTD.**

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

	<b>Sole / First Authorised Signatory</b>	<b>Second Authorised Signatory</b>	<b>Third Authorised Signatory</b>
<b>Name</b>			
<b>Designation</b>			
<b>Signature</b>			

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

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

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

**Acknowledgement Receipt**

**Application No.:**

**Date:**

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

<b>Name of the Sole / First Holder</b>	
<b>Name of the Second Holder</b>	
<b>Name of the Third Holder</b>	

**Depository Participant Seal and Signature**

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





**INDUS PORTFOLIO (P) LTD.** **INDUS SHARESHREE PVT. LTD.**

(Depository Participant - NSDL/CDSL)

Member : NSE / BSE / MCX

Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218

Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com

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

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

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

Name & Signature of the Authorised Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_

PEP : Politically Exposed Person

RPEP : Related to Politically Exposed Person


**INDUS PORTFOLIO (P) LTD.**

(Depository Participant - NSDL/CDSL)

Member : NSE / BSE / MCX

Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218

Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com

**INDUS SHARESHREE PVT. LTD.**

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

### Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The terms cover 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 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 the 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 as any time without giving prior notice for any reason whatsoever.
2. The service is currently available to 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 of BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.



**Fees:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing the 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 any other 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 the 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 provide, 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 depository from time to time. I/We further undertake to take 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 take the matter with DP.

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

I/We provide the following information for the purpose of **Registration / Modification** (Please cancel out what is not applicable)

BOID 

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

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

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

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

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

Mobile Number on which message are to be sent 

<b>+91</b>																			
------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

  
(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; is to be sent)

Signature \_\_\_\_\_  
Sole / First Holder

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

Second Holder

Third Holder

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

(Depository Participant - NSDL/CDSL)

Member : NSE / BSE / MCX

**Member : NSE / BSE / MCX**  
**Corp. Off.:** G-65, Bali Nagar, New Delhi - 110015, **Tel. EPBX:** 47671200 **Ext.:** 218/221, **Direct:** 011-47671221, 47671218  
**Fax:** 011-47671222, **Email :** dp@indusinvest.com, **Web.:** www.indusinvest.com

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

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

To,  
**INDUS PORTFOLIO PVT. LTD.**  
G-65, Bali Nagar, New Delhi - 110015

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 the opening my / our CDSL account though I/We have issued a Power of Attorney (POA)/executed PMS agreement in favour of/with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instruction for setting stock exchange trades [settlement related transaction] effected through such Clearing Manager / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

**OR**

☐ **OPTION 2:**

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

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

### Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE DIS BOOKLET from : \_\_\_\_\_

[illegible]

**Depository Participant Seal and Signature**




**INDUS PORTFOLIO (P) LTD. INDUS SHARESHREE PVT. LTD.**

(Depository Participant - NSDL/CDSL)

Member : NSE / BSE / MCX

Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 Ext.: 218/221, Direct: 011-47671221, 47671218

Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com

**Terms And Conditions for availing Transaction Using Secured Testing (TRUST) Service offered by CDSL**
**1 Definition**

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

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

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





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**INDUS SHARESHREE PVT. LTD.**

Annexure 2.7

### **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 notifications, 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 thereunder 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.
- =====





# INDUS SHARESHREE (P) LTD.

(Depository Participant – NSDL/CDSL)

Member : NSE/ BSE & RTA – NSDL & CDSL

Corp. Off.: G-65, Bali Nagar, New Delhi - 110015, Tel. EPBX: 47671200 ExL: 218/221, Dlract- 011-47671221, 47671218

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CDSL

PARTICULAR	CHARGES STRUCTURE Scheme-A	Scheme - B	Scheme – C
1. Account Opening	NIL	NIL	NIL
2. Annual Maintenance	₹ 300/- p.a	NIL	NIL
3. One Time Payment	NIL	₹ 600/-	₹ 500/-
4. Dematerialisation	₹ 100/- plus ₹ 10/- per certificate		
5. Rematerialisation	₹ 100/- (Courier Charges) + ₹ 100/ every 100 securities or part thereof or Flat ₹ 100 per certificate whichever is higher + Taxes	Same as scheme A Same as scheme A	Same as scheme A Same as scheme A
6. Transaction Charges	(i) Delivery ₹ 15/- per transaction (ii) Receipt..... NIL	(i) ₹ 11/- per transaction (ii) NIL	(i) ₹ 15/- per transaction (ii) NIL
7. DIS Book	₹ 50/- per booklet + 100/ courier charges	Same as scheme A	Same as scheme A
8. Pledge	A-Creation- ₹ 100/- per transaction upto holding value ₹ 5 Lac and 0.02% in case of holding value more than 5 Lac. B-Closure/Invocation- ₹ 50/- per transaction	Same as scheme A	Same as scheme A
9. Margin Pledge ₹ 40/- and Margin Unpledge ₹ 30/- + GST per transaction.			
10. NDU Hold on Charges ₹ 100/- per ISIN or 0.02% of the value whichever is higher.			

## BSDA : Scheme – D

Holding Value (₹)	AMC (₹)
1) 0-400,000	NIL
2) 400,000- 10 Lac	₹ 100/-p.a + GST
3) >10 Lac	Normal Amc

### N.B.

- Any other charges not specified above shall be charged extra.
- Non-execution of Instructions due to any problem/error ₹50/ per communication / dispatch.
- Charges for delivery instruction accepted at client risk for last hour execution ₹100/-shall be charged from client.
- Charges/services standard are subject to revision at depository participants discretion by giving 30 days notice.
- In case of demat rejection postage shall be charged @₹100/-for dispatch to the client for removal of objection.
- In case of non payment of the bill within 30 days from the date of demand, Interest @ 2% p.m will be charged.
- The depository services are liable to be discontinued on such default. The renewal charges will be ₹500/-.
- Mailing Charges for Non Periodic Statements/documents ₹ 100/-.
- GST or any other tax would be charged extra as per Government policy.
- DP reserves the right not to execute the delivery instructions in case the services charges are outstanding.
- Client will maintain minimum ₹ 100/- credit balance in the account as an advance payment which would be adjusted against bills.
- Modification Charges – A- Address.- ₹ 100/-, B- Bank- ₹ 100/-, C-Email and mobile or both- ₹ 50/-, DDPI- ₹ 100/-, D- Nomination(addition or deletion) - ₹ 100/-.
- Corporate Account AMC Charges ₹ 1500/-+ GST p.a.
- Transmission charges- ₹ 500/-.

**INDUS PORTFOLIO (P) LTD.**

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Fax: 011-47671222, Email : dp@indusinvest.com, Web.: www.indusinvest.com

PARTICULAR	CHARGES STRUCTURE Scheme - A	Scheme - B	Scheme - C
1. Account Opening	NIL	NIL	NIL
2. Annual Maintenance	₹ 300/- p.a.	NIL	NIL
3. One Time Payment	NIL	₹ 600/-	₹ 500/-
4. Dematerialisation	₹ 25/- plus ₹ 3/- per certificate	same as Scheme A	same as Scheme A
5. Rematerialisation	₹ 25/-(Courier Charges) + ₹15/ every 100 securities or part thereof or Flat ₹15 per certificate + Taxes whichever is higher	same as Scheme A	same as Scheme A
6. Transaction Charges	(I) Delivery ₹ 15/- per transaction (II) Receipt ..... NIL	(I) ₹ 11/- per transaction (II) NIL	(I) ₹ 15/- per transaction (II) NIL
7. DIS Book	₹ 25/- per booklet	₹ 25/- per booklet	₹ 25/- per booklet
8. Pledge	A-Creation- ₹ 50/- per transaction B-Closure/Invocation- ₹ 25/- per transaction	same as Scheme A same as Scheme A	same as Scheme A same as Scheme A
9. Margin Pledge and Margin Unpledge	₹ 20/- + GST per transaction.		
10. NDU Hold on Charges	₹ 100/- per ISIN or 0.02% of the value whichever is higher.		

**BSDA : Scheme - D**

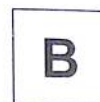
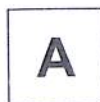
Holding Value (₹)	AMC(₹)
1) 0-50,000	NIL
2) 50,000-2 Lac	₹ 100/- p.a. + GST
3) >2 Lac	₹ 300/- p.a. + GST

**N.B.**

- Any other charges not specified above shall be charged extra.
- Non-execution of instructions due to any problem / error ₹ 30/- per communication/dispatch.
- Charges for delivery instruction accepted at client risk for last hour execution ₹ 20/- shall be charged from client.
- Charges / services standard are subject to revision at depository participants discretion by giving 30 days notice.
- In case of demat rejection postage shall be charged @ ₹ 20/- for dispatch to the client for removal of objection.
- In case of non payment of the bill within 30 days from the date of demand, interest @ 2% p.m will be charged.
- The depository services are liable to be discontinued on such default. The renewal charges will be ₹ 200/-.
- Mailing Charges for Non Periodic Statements / documents ₹ 35/-.
- GST or any other tax would be charged extra as per Government policy.
- DP reserves the right not to execute the delivery instructions in case the services charges are outstanding.
- Client will maintain minimum ₹ 100/- credit balance in the account as an advance payment which would be adjusted against bills.
- Client Master Modification Charges ₹ 50/- per occasion.
- Corporate Account AMC Charges ₹ 1000/- + GST p.a.

**HOLDER'S SIGNATURES**

PLEASE PLACE MY/OUR ACCOUNT UNDER SCHEME



HOLDER'S SIGNATURE: 1

☐ I / We do not wish to open BSDA A/c. / convert into BSDA A/c.

1. ✓

(Sole/First Holder)

2. ✓

(Second Holder)

3. ✓

(Third Holder)

For Indus Portfolio (P) Ltd.  
(Authorised Signature)



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**INDUS SHARESHREE PVT. LTD.****FATCA-CRS Declaration - Self certification***Please seek appropriate advice from your professional tax consultant on your tax residency and related FATCA & CRS guidance*

PAN											AADHAR												
DP ID											TRADING CODE :												
Client ID																							
NAME																							
ADDRESS																							
Mobile						Email						Nationality						PIN					
Father's Name																							
Spouse's Name																							
Address Type (for KYC Address)	Residential <input type="checkbox"/> Residential/Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/>																						
Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>										Date of Birth	D D M M Y Y Y Y											
Place Of Birth											Country of Birth												
Gross Annual Income / Net Worth Detail (in INR Lacs)	Below 1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 0-25 <input type="checkbox"/> 25-1 Cr <input type="checkbox"/> >1 Cr <input type="checkbox"/> (Net worth as on Date.....)																						
Occupation Details [Please tick any one (✓)]	<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer Other (Pls. specify) _____ Brief detail of Occupation / Business : _____																						
Politically Exposed Person	Yes <input type="checkbox"/> No <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable <input type="checkbox"/>																						

Is your Country of Tax Residency other than India - Yes ☐ No ☐

If Yes please specify the details of all countries in which you resident for tax purpose and its Tax identification Number &amp; type

S.No.	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type ( TIN or other, please specify)
1			
2			
3			

(to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries specially of USA )

**DECLARATION**

I hereby declare and confirm that the information provided by me as above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I am liable for it I further undertake to keep you updated of any change in the above specified information, from time to time, as and when such a thing takes place

Signature

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

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

Note: Please submit this Form with self attested copies of PAN &amp; AADHAR

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**INDUS SHARESHREE PVT. LTD.****Mobile & Email Declaration**

To,  
**INDUS PORTFOLIO PVT. LTD.**  
**G-65, BALI NAGAR,**  
**NEW DELHI - 110015**

[Please tick (✓) wherever applicable]

DP ID	Client ID	Date

Name of 1st Holder	
	Details
	Relationship with the person whose Mobile number / E - mail Id is provided (Tick (✓) wherever applicable)
Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents
E-mail Id	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents

Name of 2nd Holder	
	Details
	Relationship with the person whose Mobile number / E - mail Id is provided (Tick (✓) wherever applicable)
Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents
E-mail Id	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents

Name of 3rd Holder	
	Details
	Relationship with the person whose Mobile number / E - mail Id is provided (Tick (✓) wherever applicable)
Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents
E-mail Id	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent parents

I wish to receive ECN / e-statement    ☐ Yes    ☐ No

Signature of 1st Holder	x
Signature of 2nd Holder	x
Signature of 3rd Holder	x





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**INDUS SHARESHREE PVT. LTD.**

### Aadhar Declaration Form

To,

**INDUS PORTFOLIO PVT. LTD.**

**G-65, BALI NAGAR,**

**NEW DELHI - 110015**

I/We hereby declare that the KYC details furnished by me 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 of 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.

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA only for the specific purpose of validating / maintaining / sharing my KYC record and as an audit evidence. I will have an option to request for deletion of my Aadhaar record.

I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details.

I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML / Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Aadhaar No.....

Name as per Aadhaar.....

Signature.....

# Indus Portfolio Private Ltd. ~~INDUS~~ SHARESREE PVT. LTD.

SEBI Registration Details :-

Exchange	Single Registration No.	Date
CASH ] DERIVATIVES ] NSE CURRENCY DERIVATIVES ]	INZ000170031	March 23, 2018
CASH ] DERIVATIVES ] BSE		
DEPOSITORY PARTICIPANT ] NSDL DEPOSITORY PARTICIPANT ] CDSL		
CATEGORY I - REGISTRAR & SHARE TRANSFER AGENT	INR000003845	PERMANENTLY REGD.

Regd. Office Address : 1st Floor, Gopal Complex, Civil Road, Rohtak (Haryana), India-124001

Corporate Office : G-65, Bali Nagar, New Delhi - 110015

CIN - U67120HR1992PTC034972

Ph.: 91-011-47671200 Fax: 011-47671222 Website: www.indusinvest.com

## Details of Compliance Officer - Broking

Name : Mr. D.K. Kataria  
Phone No. : 9810141859  
E-mail Id : d.kataria@indusinvest.com

## Details of Compliance Officer - DP

Name : Mr. Puneet Pahwa  
Mobile : 9017183000  
E-mail Id : puneet.p@indusinvest.com

## Details of CEO

Name : Mr. Kulbir Singh  
Phone No. : 011-47671200  
E-mail Id : kulbirsingh@indusinvest.com

## Grievance/dispute redressal

For any grievance/dispute please contact stock broker / DP at the above address or email id: [crm@indusinvest.com](mailto:crm@indusinvest.com), [ippl@indusinvest.com](mailto:ippl@indusinvest.com) and Phone No. 91-011-47671200 and 91-011-47671240. In case not satisfied with the response, please contact the NSE Exchange at [www.nseindia.com](http://www.nseindia.com) and Phone No. (022)265987-8114, BSE Exchange at [www.bseindia.com](http://www.bseindia.com) and Phone No. (022)22721233/4, and SEBI at [www.sebi.gov.in](http://www.sebi.gov.in) and Phone No. (022)26449950.

## For complaints/grievances of demat account holders related to services of DPs/Depository :

Contact No.: Toll Free : 1800-22-5533  
Working Days : Monday through Friday  
Working Hours : 10.00 A.M. to 6.00 P.M.  
Email ID : [complaints@cdslindia.com](mailto:complaints@cdslindia.com)

For easy and quick filing of complaints on SCORES Website (link: <https://scores.gov.in/scores/welcome.html>)

## DISCLOSURE BY TRADING MEMBER FOR PROPRIETARY TRADING

In pursuance of SEBI Circular no.SEBI/MRD/SE/Cir-42/2003 dated November 19,2003 with a view to increase the transparency in the dealing between a trading member and their clients, all trading members are required to disclose to his clients whether they do client based business or Proprietary trading as well. Accordingly you may kindly note that:-

Indus Portfolio Private Limited are doing Proprietary trading in PRO Account as per the Regulations of the Exchange besides, client based business.

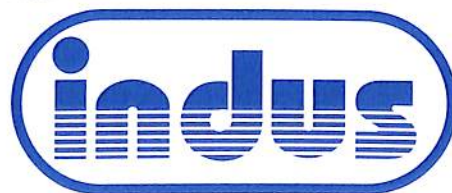


## Document Check List (Individual)

1. A passport size photograph (Self Attested) ☐
2. Photocopy of PAN Card (Clear Copy) ☐
3. Proof of Bank Account ☐
- a) Personalised Crossed cheque ☐
- b) Certified Bank Statement not more than 3 months old ☐
4. Proof of Demat Account (for only Trading Account) ☐
- a) Client Masters ☐
- b) Demat Holding statement (not more than 2 months old) ☐
5. Identity Proof - Photocopy of any of the following (Self Attested) ☐
- a) Passport ☐
- b) PAN Card ☐
- c) Voter ID ☐
- d) Driving License ☐
- e) Aadhar ☐
6. Address Proof - Photocopy of any of the following (Self Attested) ☐
- a) Ration Card ☐
- b) Passport ☐
- c) Voter ID ☐
- d) Driving License ☐
- e) Bank Passbook / Bank Statement (not more than four months old) ☐
- f) Electricity, Water, Landline Telephone Bill (MTNL / BSNL) ☐
- (Not more than 3 months old) ☐
- g) Aadhar ☐

**(All Documents Self Attested)**

INDUS SHARESHREE PVT. LTD.



## **Indus Portfolio Private Limited**

**Head Office :** G-65, Bali Nagar, New Delhi-110015

Phone : 011-47671218 / 221 / 210, Fax : 011-47671222

**Branch Office :** C-24, 1st Floor, Balaji Plaza, Bhagwan Dass Road, C-Scheme, Jaipur-302001

Phone : 0141-4971288

**Email :** [dp@indusinvest.com](mailto:dp@indusinvest.com), **Web.:** [www.indusinvest.com](http://www.indusinvest.com)