



FAQs

S. No.	Activities	Present Procedures	Post Migration (BOBCAPS)
1.	Delivery Instruction Slip (DIS) <ol style="list-style-type: none"> 1. Market Transfer 2. Off-Market Transfer 3. Early Pay-in DIS 4. Buy Back DIS 	<p>All the designated branches for the DP Operation are receiving the DIS, checking the settlement no of DIS with settlement calendar and executing the same in DP Secure a Back-office Software.</p>	<p>In case of sale: BO will give delivery instruction (DIS) to BOB CAPS to debit his account and credit the broker's account. Such instruction should reach the DP's office at least 24 hours before the pay-in, failing which, DP will accept the instruction only at the Beneficiary owner's risk. In the case of Off-market/Inter Depository & Buyback DIS: B Beneficiary owner should send the hard copy of DIS slip on our centralized through BOB Capital Market limited without mentioning the Execution date. Once the DIS slip is received, the same will be executed. In case of rejection CS desk will communicate with client via call and E-mail.</p>
2.	Dematerialization Request Form (DRF) <ol style="list-style-type: none"> 1. Normal DRF 2. Repurchase/ Redemption Request Form 3. Transmission – cum - Dematerialization 4. Dematerialization Request of Government Securities 	<p>All the designated branches for the DP Operation are receiving the DRF, checking the details of DRF with original certificate. After verification all the details of DRF and attached certificates, Branch is putting the stamp, date and sign on the DRF and sending the same to Central Office Team for further execution.</p>	<p>In case of DRF, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in</p> <p>CS desk will share sample filled DRF along with DRF form soft copy to the client, hard copy needs to be send across to BOB Capital Market limited centralized service desk at Andheri. If the DRF is proper same will be processed and sent to RTA for rest of the process.</p> <p>In case the same is rejected CS desk will communicate with client via call and E-mail.</p>
3.	Rematerialization Request Form (RRF) <ol style="list-style-type: none"> 1. Normal RRF 2. Rematerialization Request of Government Securities 	<p>All the designated branches for the DP Operation are receiving the RRF, checking the details of RRF with holding statement. After verification all the details of DRF and holdings of customer, Branch is putting the stamp, date and sign</p>	<p>In case of RRF, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in</p> <p>CS desk will share sample filled RRF along with RRF</p>



		on the RRF and sending the same to Central Office Team for further execution.	form soft copy to the client, hard copy needs to be send across to BOB Capital Market limited centralized service desk at Andheri. If the RRF is proper same will be processed and sent to RTA for rest of the process. In case the same is rejected CS desk will communicate with client via call and E-mail.
4.	Pledging/Un-Pledging 1. Forms /Annexure for pledging and un-pledging of the securities. 2. Invocation Request, etc	All the designated branches for the DP Operation are receiving the Pledge/Un-pledge/Invocation request, checking the details of form with holding statement. After verification all the details of form Branch is putting the stamp, date and sign on the form and sending the same to Central Office Team for further execution.	In case of Pledging/Un-Pledging, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in CS desk will share blank Pledging/Un-Pledging form with client and client will send the hard copy to BOB Capital Market limited centralized service desk at Andheri office. If the Pledging/Un-Pledging is proper, the same will be processed and Pledge/Un pledging reference id will be shared with client. In case the same is rejected CS desk will communicate with client via call and E-mail.
5.	Freezing and Unfreezing Instructions 1. Account Level 2. ISIN Level	All the designated branches for the DP Operation are receiving the Freezing and unfreezing request of accounts and ISIN, checking the details of form with holding statement and client master. After verification all the details of form Branch is putting the stamp, date and sign on the form and sending the same to Central Office Team for further execution.	In case of Freezing and Unfreezing Instructions, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in The CS desk will share blank Freezing and Unfreezing Instructions form with client and client will send the hard copy to BOB Capital Market limited centralized service desk at Andheri office. If the Freezing and Unfreezing Instructions are proper same will be



			<p>processed and account will be unfreeze or freeze.</p> <p>In case same is rejected CS desk will communicate with client via call and E-mail.</p>
6.	Account Opening Forms <ol style="list-style-type: none">1. For Individual2. For Corporate3. Trust4. NRI	<p>All the designated branches for the DP Operation are receiving the Account Opening Form, checking the details of AO form with supporting documents, signature of the customer/es. After verification all the details of AO form Branch is putting the stamp, date and sign on the AO form with verify with original stamp on the supporting documents and sending the same to Central Office Team for further execution.</p>	<p>Account opening off-line form will be addressed to BOB Capital Market limited centralized service desk Andheri office.</p> <p>If the account is activated, then Welcome mailer will be sent to client.</p> <p>In case same is rejected CS desk will communicate with client via call and E-mail.</p>
7.	Modification Request Form <ol style="list-style-type: none">1. Name Change in Account2. Address Change3. Email ID/Contact Details4. Bank Account details etc.	<p>All the designated branches for the DP Operation are receiving the Modification Form, checking the details of Modification form with supporting documents, signature of the customer/es. After verification all the details of Modification form Branch is putting the stamp, date and sign on the Modification form with verify with original stamp on the supporting documents and sending the same to Central Office Team for further execution.</p>	<p>In case of any modification request, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in</p> <p>CS desk will share blank modification form with client and client will submit the duly filled hard copy to our centralized service desk at Andheri office.</p> <p>If the modification form is proper same will be processed and modification confirmation is shared with client through mail.</p> <p>In case same is rejected CS desk will communicate with client via call and E-mail.</p>
8.	Nomination Change Request Form <ol style="list-style-type: none">1. Addition of Nominee2. No Nomination	<p>All the designated branches for the DP Operation are receiving the Nomination Change Request Form, checking the details of Nomination Change Request with supporting documents, signature of the customer/es. After verification all the details of Nomination Change Request form Branch is putting the stamp, date and sign on the Nomination</p>	<p>In case of nominee change/updation, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in</p> <p>CS desk will share blank Nomination change/updation form with client and client will submit the filled hard copy to</p>



		Change Request form with verify with original stamp on the supporting documents and sending the same to Central Office Team for further execution.	our centralized serviced Andheri office. If the Nomination change/updation is proper same will be processed and nominee updation/change confirmation is shared with client through mail. In case the same is rejected CS desk will communicate with client via call and E-mail.
9.	Account Closure Forms 1. For Individual 2. For Corporate 3. Trust 4. NRI, etc	All the designated branches for the DP Operation are receiving the Account Closure Forms Form, checking the details of Account Closure Forms with supporting documents, signature of the customer/es. After verification all the details of Account Closure Forms Form Branch is putting the stamp, date and sign on the Account Closure Forms form with verify with original stamp on the supporting documents and sending the same to Central Office Team for further execution.	In case of account closure, Beneficiary owner can connect to CS desk on 8652270270/ Dematcare@bobcaps.in The CS desk will share blank account closure form with client and client will submit the duly filled hard copy to our centralized service desk Andheri office. If the account closure is proper, the same will be processed and closure confirmation is shared with client through mail. In case the same is rejected CS desk will communicate with client via call and E-mail.
10.	Transmission Form	All the designated branches for the DP Operation are receiving the Transmission Form, checking the details of Transmission Form with supporting documents, signature of the customer/es. After verification all the details of Transmission Form Branch is putting the stamp, date and sign on the Transmission Form with verify with original stamp on the supporting documents and sending the same to Central Office Team for further execution.	Transmission form will be addressed to the centralized service desk Andheri office.
11.	Statement of Transaction/Holding/Client Master Report/Pledge Master Report/Billing Statements etc.	All the designated branches for the DP Operation are having the access of DP Secure (Back Office of DP operations). Branches are generating the requisite report/statement on request of	Digital Signed/Stamp Signed CML, Demat transaction report, holding report will be provided through BOB Capital Market limited, client can mark a mail or call on



		customer and giving the same to customer.	below details (Dematcare@bobcaps.in) or (8652270270).
12.	Speedy and Easiest Services	Customer is applying the facility on the respective portal and submitting the documents received from the portal in the respective branch. Branches are checking the documents received from the customer and after checking, forwarding the same to Central Operation Team for further action.	Speedy and Easiest Services request form will be sent to our centralized office BOB Capital Market limited Andheri office.
13.	Linking of the Trading Account with Finacle SB account of customer	After opening of the Trading Account BOBCAPS Team is sending the DDPI and Bank Mandate document to DP for Linking with CBS.	BRD for auto Linking in CBS has been raised to the bank, Our IT team is following up on the same.
14.	Scanning and uploading of DIS on NSDL & CDSL respectively	After execution of the DIS, Branches are Scanning the DIS in specific size with specific nomenclature and upload the same in DP Secure Software or sending the file to central office team for further action.	Client must send the hard copy of DIS slip on our centralized Hub of BOB Capital Market for execution.
15.	Issuance of DIS Booklet	As per the branch request DIS inventories are sent to the branches and branches are issuing the same to customer on request.	The CS team will provide the DIS requestion form with client on mail, client must send the hard copy to our centralized service Hub of BOB Capital Market.



BOBCAPS ESCALATION MATRIX

Details of	Contact Person	Address	Contact No	Email ID
Customer Care	Mr. Kamal Negi	401/501 B-Wing, Business Square, Opp Kanakia Wall Street, Andheri Kurla Road, Andheri (E), Mumbai-400 093.	8652-270270 Mon-Fri; 9:00 AM To 6:30 PM	customercare@bobcaps.in
Head of Customer Care	Mr. Fayyaz Farid Millwala	401/501 B-Wing, Business Square, Opp Kanakia Wall Street, Andheri Kurla Road, Andheri (E), Mumbai-400 093	92288 60966 Mon-Fri; 9:00 AM To 6:30 PM	head-customercare@bobcaps.in
Compliance Officer	Mr. Sameer E. Khobrekar	1704 B Wing Parinee Crescenzo, G Block, BKC, Bandra (East), Mumbai – 400 051.	022-61389358/321 Mon-Fri; 10:00 AM To 6.30 PM	compliance@bobcaps.in