



**COMBINED**  
**ACCOUNT OPENING FORM**  
**FOR**  
**DEMAT & TRADING**  
**(INDIVIDUAL)**

Demat Account Number									
Unique Client Code/Trading Code									

Client Name*			
Mobile*			
Email ID*			
BOB staff employee Code		BOBCAPS Staff Code*	

### DOCUMENTS REQUIRED FOR INDIVIDUAL ACCOUNT OPENING

Compulsory Documents (self-attested)	(Please ✓ mark)
✓ Personalized Cheque Leaf or Bank Passbook	
✓ Verified copy of both side of PAN Card with photo	
✓ Address Proof	
<b>Verified Copy of any one of the following (self-attested) can be considered as Address Proof:-</b>	
✓ Passport	
✓ Driving License	
✓ Voter's Identity Card	
✓ Bank Statement (Not more than 3 months old)	
✓ Rent Agreement	
✓ Telephone Bill (Not More than 3 months Old)	
✓ Electricity Bill (Not More than 3 months Old)	

### Check-list of Documents to be obtained for clients trading in Derivatives Segment

Documents Required(self-attested)	(Please ✓ mark)
✓ Copy of ITR Acknowledgement	
✓ Copy of Annual Accounts	
✓ Copy of Form 16 in case of Salary Income	
✓ Net worth Certificate	
✓ Salary Slip	
✓ Bank Account Statement for last 6 months	
✓ Copy of Latest Demat Account Holding Statement	
✓ Any other relevant document substantiating ownership of Assets	
✓ Declaration along with relevant supporting documents	

- a) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b) In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

### Check-list of Documents to be obtained for NRI clients

Documents Required(self-attested)	(Please ✓ mark)
✓ Copy of RBI Approval Letter.	
✓ Power of Attorney Letter Duly Notarized.	
✓ Indian & Foreign address of client. (Proof of the same required).	
✓ Personal details of Authorised persons to whom the power of attorney is given for signature & trading on behalf of him.	
✓ DP proof with DP ID, Client ID & Client Name clearly mentioned on the proof submitted.	
✓ Bank Verification Letter with Account No, Branch Name & Client name clearly mentioned on the proof submitted.	
✓ Valid Passport (Page containing the date of expiry also to be attached) copy of client – Validity should be at least six months.	
✓ Unique Client Code allotted by exchange / Clearing Member for the Trading in Derivative Segment.	
✓ FEMA Declaration Form	
✓ PIS Account Details & Statement	

**To access the PMLA policies of the company please visit [www.bobcaps.in](http://www.bobcaps.in)**

#### **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 up to Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

#### **List of people authorized to attest the documents:**

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

**INDEX OF DOCUMENTS**

<b>Section A - Mandatory Documents as prescribed by SEBI &amp; Exchanges</b>			
<b>Sr. No.</b>	<b>Document Name</b>	<b>Brief Significance of the Document</b>	<b>Page No.</b>
1	Guidance Note	Do's And Don'ts For Trading On The Exchange(s) For Investors	
2	KYC Acknowledgement Letter	Duly completed Mandatory & Voluntary Client Registration Details	
3	Know Your Client (KYC) Application Form.	Document capturing the basic information about the individual for the purpose of registration.	
4	Demat 2 <sup>nd</sup> & 3 <sup>rd</sup> Holders	Demat 2 <sup>nd</sup> & 3 <sup>rd</sup> Holders Details	
5	Additional Details	Additional Details of Investments	
6	Letter of Authority for Recovery & HUF Declaration	Letter of Authority of Recovery for Bank charges & Demat	
7	FATCA-CRS	FATCA-CRS for Individual Accounts	
8	Nomination Details	Details of Nomination (Demat & Trading)	
9	Rights & Obligations - Depositories	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	
<b>Section B - Voluntary Document as provided by the Stock Broker</b>			
10	Power of Attorney (to be Franked).	POA in favour of BCML for operations of clients Bank and Demat accounts. (Provided separately)	
11	Terms & Conditions for Third Party	Terms & Conditions for Third Party Products	
12	Standing instruction letter for Running Account & Consent letter for ECN and other document in Digital Mode.	Letter from the client to BCML to maintain a Running Account for funds & Consent letter by the client to receive daily contract notes as well as other periodic statutory documents in electronic medium (email)	
13	Common email ID authorization letter & In-person verification & document verification.	Letter from the client to use a common email ID for multiple family trading accounts & In-person verification done by BOB / BCML and supporting documents verified with original.	
14	Schedule of Charges for Demat & Trading	Account opening, Trading & Depository Charges	
15	Demat Account Linking letter.	Indemnity letter to link the clients Demat account (maintained with BOB) with his trading account (maintained with BCML)	
<b>Section C - Terms &amp; Conditions For Demat &amp; Trading</b>			
16	Terms & Conditions	Terms & Conditions For Demat & Trading Risk Disclosure Document, Rights & Obligations of policies & Procedures	

## Section A

### Mandatory Documents

#### Guidance Note (Do's and Don'ts' for trading on the exchange for investors)

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in) / [www.bseindia.com](http://www.bseindia.com) / [www.nseindia.com](http://www.nseindia.com)
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions / guidelines specified by SEBI / Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and Demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

#### Transactions and settlements

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email ID to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheque in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/Demat account such money or securities deposited and from which bank/Demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, pay-out of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of pay-out from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market
  - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of pay-out from the exchanges, please refer the matter to the stock

broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the “transactions executed on the trading system” of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

#### DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.


### KYC ACKNOWLEDGEMENT LETTER

Dear All,

This is to confirm that I have received a scanned copy of the account opening form along with the documentary proof submitted by me to open a trading account with BOBCAPS.

The following Mandatory and Voluntary Documents will be made available to the customer based on his preference for Mode of receiving the documents.

- ✓ Guidance Note detailing Do's and Don'ts for trading on Exchanges.
- ✓ Copy of OLT Application form including (KYC).
- ✓ Rights & Obligations of stock broker and Client including Internet and Wireless Technology based Trading.
- ✓ Rights & Obligations of stock broker, sub-broker and client for trading on Exchanges.
- ✓ Risk Disclosure Document
- ✓ Terms & Conditions for Call-n-Trade
- ✓ Voluntary Documents / Clauses.
- ✓ Policies and Procedures of the company.
- ✓ Copy of PAN Card & Verification of PAN Card.
- ✓ Copy of relevant Proofs submitted i.e. Identity, Address, Demat, and Bank Account.
- ✓ Schedule of Charges.
- ✓ Criteria for determining a 'fit and proper person'
- ✓ Terms for Physical / Electronic Preference for Contract Notes.
- ✓ Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from all depositories.
- ✓ To register for “Easi” allows a BO to view his ISIN balance, transactions & value of the Portfolio online. (Please visit our Website)

 \_\_\_\_\_  
Signature/Thumb Impression of Applicant / Applicants



## Proprietary Trading Declaration

In terms of circular no SEBI/MRD/SE/CIR-42/2003 dated 19 Nov 2003 issued by Securities Exchange Board of India the broker member is obliged to disclose to its clients / constituents whether the member is trading in his own account or not. Accordingly whereby inform that, the member, its directors or its associates do invest / trade in capital / derivatives segment. The same may please be noted.

### Instructions to fill the form (please ensure all the instructions are followed).

- Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Office under his / her official seal.
- Signatures should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.
- The Customer needs to fill the form by his/her self.
- The Documents viz. Know Your Client (KYC) Application Form is mandatory as per uniform documentary requirement for trading.
- The document viz., 1. Declaration; 2. Power of Attorney; 3. Letter of standing instruction / running account, 4. ECN Mandate Letter are voluntary disclosure documents which are to be executed at the discretion of the client only.
- Please fill all details in CAPITAL LETTERS. Write only one alphabet in each square provided. Leave one square blank between words. Please write name in space provided as it appears in all your documents.
- A self-signed Cheque should be issued by first holder only in the name of BOB Capital Markets Limited or the same will be debited from your Bank A/c. once the Trading A/c. is opened.
- If your Bank does not exist with Bank of Baroda, you can issue a cheque for opening your new Savings/ Current Account with Bank of Baroda along with your Trading Account with BOB Capital Markets Ltd.
- Baroda-e-Trade Account would be in the name of First Applicant only. The First Applicant would need to have a bank account (either sole or joint) with BANK OF BARODA (hereinafter referred to as "BOB") and a Demat Account (either sole or joint) with BANK OF BARODA (hereinafter referred to as "Depository Participant also known as DP").
- Clearly specify the complete postal address with city, state & postal pin code as it appears in the proof of residence submitted by you.
- All communications shall be sent to you on the mailing address of the First Applicant only. Please ensure that the E-mail address of the First Applicant is correct since all communications through E-mails will be sent at this E-mail address.
- In case of Joint Bank Account/Demat Account, joint holders/co-holders need to execute the Power of Attorney for operating Bank Account/Demat Account. The First Applicant of the trading account needs to be the First Applicant of this Joint Bank Account/ Joint Demat Account(s).
- For Bank/Demat Account, Joint Holder and Nominee cannot be the same person. Nomination should be in favour of single person and should never be in joint name.
- Please remember to attach one set of photograph for all Bank and Demat Account Holders. If you are linking an existing Bank or Demat Account, Co-holder's Photographs are required.
- Please refer to the schedule of charges & fees on Page No. 18 and confirm its acceptance by signature.
- Please note that no extra signature is to be given on the form unless there is a cancellation or correction on the form.
- Use of black ink ball pen is preferable for filling up the forms and signature.
- It is mandatory to fill up telephone numbers in the Trading account opening form. (Mobile and landline)
- Usage of white ink in Account Opening Form is not allowed and any alteration/correction on the Account Opening Form should be attested by applicant's full signature.

## KNOW YOUR CLIENT APPLICATION FORM FOR INDIVIDUAL (Demat & Trading)

	Date	DP Internal Ref. No.	
<b>For office use only</b> (To be filled by financial institution)	DD - MM - YYYY		SOL ID: _____
Application Type*    New <input type="checkbox"/> Update <input type="checkbox"/> Login ID _____			
KYC Number _____ (Mandatory for KYC update request)			
Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low risk customers) <input type="checkbox"/> Small			
Depository Service (Select any one): <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL			
CDSL Client ID <u>13018700-</u> NSDL Client ID <u>IN</u>			
(In case of existing Demat account fill the detail above. Kindly leave it blank for new Demat account)			

Sign across photo

### 1. PERSONAL DETAILS (I/We request you to open a Depository & Trading Account in my/our name as per following details)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	_____			
Maiden Name (If any*)	_____			
Father / Spouse Name*	_____			
Mother Name*	_____			PAN Card* _____
Date of Birth*	DD - MM - YYYY	UID (Aadhaar)* _____		
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*	IN- Indian	Others (ISO 3166 Country Code		<input type="checkbox"/>
Individual Status*	<input type="checkbox"/> Resident	<input type="checkbox"/> Director	<input type="checkbox"/> Director's Relative	<input type="checkbox"/> Promoter
	<input type="checkbox"/> Minor	<input type="checkbox"/> HUF/AOP	<input type="checkbox"/> Other _____	
NRI	<input type="checkbox"/> Repatriable	<input type="checkbox"/> Non-Repatriable	<input type="checkbox"/> Repatriable Promoter	<input type="checkbox"/> Non-Repatriable Promoter
	<input type="checkbox"/> Depository Receipts	<input type="checkbox"/> Other _____		
Foreign National	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Other _____	
Qualification*	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Prof. Degree	<input type="checkbox"/> Other _____
Occupation Type*	<input type="checkbox"/> Private Service	<input type="checkbox"/> Public Service	<input type="checkbox"/> Government Service	<input type="checkbox"/> Business
	<input type="checkbox"/> Others	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired
	<input type="checkbox"/> Student	<input type="checkbox"/> Agriculture	<input type="checkbox"/> Others	

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs
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Income Range (Rs. Per Annum) Please ✓ mark)	Less than 1 Lacs	1-5 Lacs	5-10 Lacs	10-25 lacs	> 25 Lacs
Net worth [Net worth should not be older than 1 year]					

### 2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

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

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\* \_\_\_\_\_

Place / City of Birth\* \_\_\_\_\_

ISO 3166 Country Code of Birth\*



### 3. PROOF OF IDENTITY (PoI)\* (Certified copy of any one of the following proof of Identity [PoI] needs to be submitted)

Voter ID Card \_\_\_\_\_ PAN Card \_\_\_\_\_ UID (Aadhaar) \_\_\_\_\_

Passport Number \_\_\_\_\_ Passport Expiry Date DD - MM - YYYY

Driving License \_\_\_\_\_ Driving License Expiry Date DD - MM - YYYY

Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_

Simplified Measures Account - Document Type code  Identification Number \_\_\_\_\_

NREGA Job Card \_\_\_\_\_

### 4. PROOF OF ADDRESS (PoA)\* (Certified copy of any one of the following proof of Identity [PoA] needs to be submitted)

#### 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

Address Type\*c  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving License  UID (Aadhaar)

Voter Identity Card  NREGA Job Card  Others \_\_\_\_\_

Address

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\*  ISO 3166 Country Code\*

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

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

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\*  ISO 3166 Country Code\*

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

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

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

State\* \_\_\_\_\_ ZIP / Post Code\* \_\_\_\_\_ ISO 3166 Country Code\*

### 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. /Email ID)

Tel. (Off) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_ Mobile \_\_\_\_\_

FAX \_\_\_\_\_ Email ID \_\_\_\_\_

### 6. DETAILS OF GUARDIAN / RELATED PERSON (In case the account holder is minor)

Guardian of Minor  Assignee  Authorised Representative

Prefix First Name Middle Name Last Name


Name\* (Same as ID proof)\* \_\_\_\_\_

Proof of Identity \_\_\_\_\_

Remark \_\_\_\_\_

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

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

 \_\_\_\_\_  
 Signature/Thumb Impression of Applicant / Applicants

**(SECTION A)**
**7. JOINT HOLDERS - SECOND HOLDER'S DETAILS (\*Separate KYC & FATCA Form required for Joint Holder)**

	Prefix	First Name	Middle Name	Last Name
Name*	_____			
Maiden Name (If any*)	_____			
Father / Spouse Name*	_____			
Mother Name*	_____			
Date of Birth*	_____ PAN Card*		_____ UID (Aadhaar)*	
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"/> <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
Qualification*	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Prof. Degree	<input type="checkbox"/> Other
Occupation Type*	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	<input type="checkbox"/> Professional
	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Student <input type="checkbox"/> Business <input type="checkbox"/> Others

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs
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Income Range (Rs. Per Annum) (Please ✓ mark)	< 1 Lacs	1-5 Lacs	5-10 Lacs	10-25 lacs	> 25 Lacs
Net worth					

**8. JOINT HOLDERS - THIRD HOLDER'S DETAILS (\*Separate KYC Form required for Joint Holder)**

	Prefix	First Name	Middle Name	Last Name
Name*	_____			
Maiden Name (If any*)	_____			
Father / Spouse Name*	_____			
Mother Name*	_____			
Date of Birth*	_____ DD - MM - YYYY PAN Card*		_____ UID (Aadhaar)*	
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"/> <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
Qualification*	<input type="checkbox"/> Graduate	<input type="checkbox"/> Post Graduate	<input type="checkbox"/> Prof. Degree	<input type="checkbox"/> Other
Occupation Type*	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	
	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Business <input type="checkbox"/> Others

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs
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Income Range (Rs. Per Annum) Please ✓ mark)	Less than 1 Lacs	1-5 Lacs	5-10 Lacs	10-25 lacs	> 25 Lacs
Net worth					


 Signature/Thumb Impression of 1<sup>st</sup> Applicant

 Signature/Thumb Impression of 2<sup>nd</sup> Applicant

 Signature/Thumb Impression of 3<sup>rd</sup> Applicant

**(SECTION A)**

I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I/We would like to share the email ID with the RTA	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I/We would like to receive the Annual Report & Statement of Account	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic	
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly	
Account to be operated to POA	Yes	No <input type="checkbox"/>
RBI approval reference Number (In case of NRIs / Foreign National): _____ RBI Approval Date: _____		

I/We instruct the DP to receive each and every credit automatically in my/our account. (If not marked, the default option would be "Yes")	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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')	Yes <input type="checkbox"/>	No <input type="checkbox"/>

**FOR JOINT HOLDERS**
**MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze): -**


<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
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 Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	


**9. Bank Details - Dividend Bank Details (Demat)**

Bank Code (9 digit MICR Code)										
IFS Code (11 digit code)										
Bank Address										
City	State	Country	PIN							
Account Number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> PIS <input type="checkbox"/> Others (specify)									

 I/We wish to receive dividend / interest directly into 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 
  
 Signature/Thumb Impression of Bank Account holder / Holders

For NRIs, I/We hereby declare that we complied with and will continue to comply with the FEMA regulations and other applicable laws, I/We also undertake that whenever there is/are change/s in the residential address and/or any other information same will be informed immediately to the DP.

Foreign Address										
City	State									
Country	PIN									

  
 Signature/Thumb Impression of Applicant / Applicants



**Information about Investment and Trading Experience and Preferences (Trading)**
**Investment Experience**

<b>Stock Exchanges on which you wish to trade (if the member is registered for such exchanges) (Please ✓ mark)</b>	<input type="checkbox"/> NSE <input type="checkbox"/> BSE
<b>Category</b>	1. Related to a Politically Exposed Person (PEP)
	2. Politically Exposed Person (PEP)
<b>Investment / Trading Experience</b>	No Prior Experience Years in Stocks Years in Derivatives Years in other investment related fields
<b>Whether registered with any other Broker-Member/ Sub-broker</b> (If registered with multiple members, provide details of all) <b>Yes:</b> _____ <b>No:</b> _____ SEBI Regn. No. Regd. Office Address:  Phone No. Fax No. Website	Name of Broker _____ Client code _____ Exchange _____ (If Registered with more than one broker than please attach the details in annexure) Details of disputes / dues pending from / to such broker / Sub-broker)
<b>PAST ACTIONS</b> Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/ promoters/ whole time directors/authorized persons.	

**Investment Objective & Risk Profile (Tick P One to indicate your investment objective.)**

 Income & growth (Low Risk) 

 Long-Term Growth (Medium Risk) 

 Aggressive Growth (High Risk) 

 Capital Appreciation (Moderate to High Risk) 

Number of years of Investment/Trading Experience: \_\_\_\_\_

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): Y/N \_\_\_\_\_

Any other information: \_\_\_\_\_

**Schedule I**
**BOB Capital Markets Bank Account Details:-**

Bank Name	Account Number	Exchange	Account Description
Axis Bank	9180200981389084	NSE	Client Account
Bank of Baroda	03810200001002	BSE	Client Account
Canara Bank	2426201100079	NSE	Client Account

**Schedule II**

Name of the DP	NSDL/CDSL	DP ID	Client Id	Account Description
Bank of Baroda	CDSL	13018700	00267585	BSE CM Pool Account
Bank of Baroda	CDSL	13018700	00267606	NSE Pool Account
Bank of Baroda	CDSL	13018700	00488696	Client Margin Trading Securities
Bank of Baroda	CDSL	13018700	00514856	CM Client Securities Margin Pledge
Bank of Baroda	NSDL	IN300870	10185030	NSE Pool Account
Bank of Baroda	NSDL	IN300870	10185023	BSE Pool Account
Bank of Baroda	NSDL	IN300870	10790723	CM Client Securities Margin Pledge




**Schedule III**

The above said Account holder/s is/are having Demat Account in the style mentioned below:-

 Name of the DP:- **Bank of Baroda**  NSDL  CDSL DP Id:- \_\_\_\_\_ Client Id:- \_\_\_\_\_

## 11. 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.
- I/We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.
- 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 Depository providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/charges as may be levied by the depository from time to time. I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debts take place, the BOs would be required to take up the matter with their DP. I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.
  - I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our SDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP. I, the first/Sole holder, also hereby declare that I do not have/propose to have any other demat account across depositories as a first /sole holder.
  - I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
  - I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
  - I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
  - 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.

DP ID		Client ID	Date
Mobile Number	Email ID		
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Mr or <input type="checkbox"/> My family (spouse, dependent children and dependent parents.)			
The following Mandatory and Voluntary Documents will be made available to the customer based on his preference for Mode of Receiving documents - <b>Guidance Note – Do's and Don'ts , Rights &amp; Obligations of Stock Broker and Client including Internet and Wireless Technology based Trading, Risk Disclosure Document, Terms and Conditions for Call-n-Trade.</b>			
Please select the choice for receiving the following documents <input type="checkbox"/> Hard Copy <input type="checkbox"/> Soft Copy			
Date : _____			
Place : _____			
	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
<div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto;">PHOTO</div>	<div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto;">PHOTO</div>	<div style="border: 1px solid black; width: 100px; height: 100px; margin: 0 auto;">PHOTO</div>	
 Signature / Thumb Impression of 1 <sup>st</sup> Applicant	 Signature / Thumb Impression of 2 <sup>nd</sup> Applicant	 Signature / Thumb Impression of 3 <sup>rd</sup> Applicant	
<b>In-person verification by Branch DP of Bank of Baroda</b>			
Name & Designation Signature under stamp of Bank of Baroda with EC Number			
Date: _____ Place : _____			

**ONLY FOR HUF DEMAT ACCOUNT (Demat)**

To  
Bank of Baroda

We, the undersigned, hereby declare that we are the adult members of the Joint Hindu Undivided Family of \_\_\_\_\_ and that \_\_\_\_\_ is the Karta of our joint family and as such Karta he is entitled to deal in connection with the said Joint Hindu Undivided Family without any authority from other members of the family.

We further declare that the business of the said Joint Hindu Undivided Family is carried on mainly by the said Karta, \_\_\_\_\_ as also by other members in the interest and benefit of the said Joint Family.


We also undertake that any claim due to the Bank from the said Joint Hindu Undivided Family shall be recoverable personally from us including the shares of the minors, if any.

Yours Faithfully,

Sr. No.	Name of Family Members	PAN	Relationship	Date of Birth	Age	Signature

Names of the Minor Member/s

\_\_\_\_\_  
\_\_\_\_\_

 \_\_\_\_\_  
Signature / Thumb Impression of Karta

**LETTER OF AUTHORITY FOR RECOVERY OF BANK CHARGES & ADDITIONAL INFORMATION (Demat)**

To, \_\_\_\_\_ Date: \_\_\_\_\_

Bank of Baroda Branch

I/We hereby irrevocably authorize you to recover various Bank charges such as Commission / Fee / Postage / Annual Maintenance charges / Transaction charges etc. (subject to change from time to time) incidental to maintenance and operations of my/our Demat account from my/our following account :

**SB/Current account No.:** \_\_\_\_\_ **MICR No.:** \_\_\_\_\_

Maintained with you / maintained with Bank's \_\_\_\_\_ branch,

Further, I/We undertake to maintain sufficient balance at all times to meet the recovery of bank's charges in connection with my/our Demat account. Failure on my/our Demat account. Failure on my/our part to maintain sufficient balance in above savings/current account shall not, however, impair in anyway the right of Bank of Baroda from recovery of due charges. In case debit balance is created in my/our above savings/current account due to recovery of bank's charges. I/We authorize the bank to charge interest, on debit balance created, at the rate prescribed by bank from time to time.

1.	Do you have any other Demat account with any Branch/Branches of Bank of Baroda? If so, please give details :	Name and Address of DP..... ..... DP ID: ..... Client ID: .....
2.	Do you have any Demat account with any other Bank's DP or any other Depository Participant (DP)? If so, please give details :	Name and Address of DP..... ..... DP ID: ..... Client ID: .....

Yours faithfully,

Sr. No.	Name/s of Bank Account Holder/s	Signature of Bank Account Holder/s
1		
2		
3		

Verification by Branch DP of Bank of Baroda:

Signature/s Verified & Instructions Noted	
Name / Designation / Signature under stamp of the Bank of Baroda with Signature No. / EC No.	
Place : _____ Date : _____	



**Section A**
**FATCA-CRS Annexure for Individual Accounts - including Sole Proprietor - To be obtained with Account Opening Form for Individuals (Demat & Trading)**

Account No.																			
-------------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Details under FATCA and CRS
-----------------------------

Tax residence declaration - tick any one as applicable to you: (if yes please provide all other information.)

- a.  I am a tax resident of India and not resident of any other country
- b.  I am a tax resident of country/ies mentioned in the table below

Customer ID: \_\_\_\_\_

	Prefix	First Name	Middle Name	Last Name
Name*	_____			
Maiden Name (If any*)	_____			
Father / Spouse Name*	_____			
Mother Name*	_____			
City of Birth	_____		Country of Birth _____	
Date of Birth*	DD - MM - YYYY		PAN Card* _____	
			UID (Aadhaar)* _____	
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T - Transgender	
Nationality	_____		Identification Number _____	
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
Residential Address	_____			
Occupation Type*	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	<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 Categorized		

**Certification**

I have understood the information requirements of this Form (read along with the FATCA-CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I have read and understood the FATCA-CRS Terms and Conditions and here accept the same.

Name:

 \_\_\_\_\_

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

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

**FATCA – CRS Instructions**

Details under FATCA-CRS/Foreign Tax Laws: Towards compliance with tax information sharing laws, such as FATCA and CRS. We would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency. Please contact your tax advisor. Should there be any change in any information provided by you. Please ensure you advise us PROMPTLY i.e. within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/tax authorities, we may also be constrained to withhold and pay put sums from your account or close or suspend your account(s).

If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax identification Number. Foreign Account Tax Compliance provisions commonly known as FATCT are contained in the US Hire Ac2010.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued please provide an explanation and attach this to the form. Please note that you may receive more than one request or information if you have multiple relationships with ABC or its group entries. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### NOMINATION FORM FOR INDIVIDUALS ONLY (Demat & Trading Account)

I/We hereby confirm that I/We **do not wish to appoint any nominee in my 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 demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination].

I/We **nominate** the following person/s who is entitled to receive all Assets / security balances lying in my/our account, particulars whereof are given below, in the event of the death of te Sole holder or the death of all the Joint Holders.

BO Account Details																
DP ID										Client ID						
Name of 1 <sup>st</sup> / Sole Holder																
Name of 2 <sup>nd</sup> Holder																
Name of 3 <sup>rd</sup> Holder																

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name:			
*First Name:			
Middle Name:			
*Last Name			
*Percentage of allocation of securities: <input type="checkbox"/> Equally [If not equally, please specify percentage] <b>Or</b> <input type="checkbox"/> <b>Share of each Nominee</b>			
Nomination Identification Details – [Please tick any one of following and provide details of same]			
Photograph & 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 <b>[Optional Fields]</b>			
*Address:			
*City:			
*State:			
*Pin:			
*Country:			

Mobile no. / Telephone No: [Optional Fields]			
Email ID: [Optional Fields]			
Fax No: [Optional Fields]			
*Relationship with the BO:			
<b>To be filled only if nominee(s) is a minor:</b>			
Date of birth (mandatory if Nominee is a minor):			
Name of the Guardian of Nominee (if the nominee is minor):			
*First Name:			
Middle Name:			
*Last Name			
*Address of the Guardian of nominee:			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Mobile /Telephone no.: [Optional Fields]			
Email ID: [Optional Fields]			
Fax No: [Optional Fields]			
*City:			
*State:			
*Country:			
*Pin:			
Age			
Mobile /Telephone no.: [Optional Fields]			
Email ID: [Optional Fields]			
Fax No: [Optional Fields]			
*Relationship of the Guardian with the Nominee: Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

**Note :** Residual securities: in case of multiple nominees, remaining after distribution of securities as per percentage of allocation. shall be transferred to the first nominee

\* Marked is Mandatory field

**Note:** Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination.

Details of the Witness	
	<b>Witness Details</b>
Names of Witness	
Address of Witness	
Signature of Witness	

**This nomination shall supersede any prior nomination made by the account holder(s), if any.**

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

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

**(To be filled by DP)**

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_.

For Depository Participant  
(Authorised Signatory)

**Section B****CONSENT LETTER OF STANDING INSTRUCTIONS, RUNNING ACCOUNT AUTHORISATION & CONTRACT NOTES IN DIGITAL FORM (Trading)**

To,  
BOB Capital Markets Ltd.  
1704, B Wing, 17th Floor, Parinee Crescenzo, G Block,  
Bandra Kurla Complex, Bandra (East), Mumbai – 400051.  
Dear Sir,

**Sub: letter of Standing Instructions & Running Account Authorisation**

I/We hereby will fully and unconditionally issue following standing instructions with reference to personal discussion between us:  
I / We authorise you to enter, modify, and delete orders into the Trading System of the Segments of the Exchanges on my / our behalf for which instructions may be given to you through / Verbal / Oral / Written / Telephonic Communication.  
I / We authorise you not to provide me / us the Order Confirmation / Modification / Cancellation Slips and Trade Confirmation / Modification / Cancellation Slips generated by the Trading System of the Segments of the Exchanges to avoid wastage of Time and unnecessary Paperwork as I am / we are getting necessary information from the Contract Notes issued by you.  
I/We will make payments to you for bills raised by you. I am / We are agreeable for maintaining running account and instruct you that no Cheque/Shares be issued to me/us towards credit balance in my/our account, unless specifically demanded by me/us and only to the extent of amount demanded by me/us.  
I am / we are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.  
I am / we are agreeable for transfer of credit balances in margin account / client account of cash segment towards adjustment debit balance in margin account / client account of derivatives segment and vice versa.  
I am / we are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities for the future / past settlements.  
I am / we are agreeable for and authorise you to withhold funds pay-out towards all the applicable margin and debits.  
I / We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to anyone else for trades done in my client code.  
All fines / penalties and charges levied upon you due to my acts / deeds of transaction may be recovered by you from my accounts.  
I/We confirm my/our preference for actual settlement of funds and securities at least:

Once in a Calendar Quarter  Once in a Calendar Month (Tick one of these options)

Except that you may not settle the funds given towards collaterals/margin in form of Bank Guarantee and /or Fixed Deposit Receipt.  
I/We agree that funds in my ledger may be retained by you in lieu of settlement of my account if the balance is Rs.10,000/- or less due to administrative difficulty to settle the accounts and as permitted by SEBI/Exchanges vide their circular dated 29th October 2013.  
In case I / We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet the margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.  
I / We confirm that I will bring to your notice any disputes arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.  
I/We confirm you that I can revoke the above mentioned authority by giving a revocation letter in writing to you at any time.  
I/We hereby authorise you to give instruction to BOB Capital Markets and Bank of Baroda DP/Bank of Baroda Bank Account for debiting / crediting my/our account/s with them. The authorization shall be signed by me/us only and not by any power of attorney holder or any authorised person.  
I/We confirm that there vocation of standing instruction will be effective only from the date and time the notice is received by BOB Capital Markets Ltd. I/We also confirm that all transactions originated prior to this are valid.  
There standing instructions are valid from the date the account is opened and will be valid until revoked.

**Sub: Consent letter to Issue Contract notes in Digital Form.**

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me / us, bills and account statements thereof, notices, circulars, amendments and all other correspondence or documents in electronic form duly authenticated by means of a digital signatures as specified in the Information Technology Act 2000 and the rules made there under, to any of my email ids mentioned in the KYC. I/We confirm that the Physical Contract Notes may not be issued to me/us as

I am/ we are willing to receive the same in Electronic/Digital mode. I/We hereby also consent to receive:-

- |  |   |
|--|---|
| [1] Security Transaction Tax (STT) Statement | [2] Statement of Securities/Statement of Funds. |
| [3] Financial Statement                      | [4] Daily Margin / Collateral Statement         |

And other statutory / non-statutory documents in electronic / digital mode as per BSE / NSE / SEBI guideline. I/We further hereby agree that the member shall fulfil the legal obligation, if the above documents are sent electronically to my one of the e-mail ids mentioned in the KYC. I/We agree that the member will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address / correspondence address as mentioned aforesaid and the same being not informed to the member.

I/We also agree that the member shall not take cognizance of out of office / out of station auto replies and I/We shall be deemed to have received such electronic mails. The mandate is subject to terms and conditions mentioned herein below:

Terms and conditions for issuance of contract notes in digital form:

1. Digital contract notes in the format as may be prescribed by the Exchange from time to time will be mailed to the mail address provided to us.
2. Digital contact Notes will also be available at our website www.barodaetrade.com
3. I/We understand to check the contract notes and bring the discrepancies to your notice within a reasonable time of issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
4. Clients can view the Digital contract notes using the user name & password through the above website apart from the contract notes sent to the client through mail.

5. The digital contact notes will be archived at an interval of 1 year. If the client intends to view the digital contract note for a period prior to 1 year client may request for the same in writing. We may charge certain amount for the same.
  6. In case of any failure in system or errors in digital contract notes or bouncing of e-mails on a recurring basis, contract notes will be issued in physical form, acceptance of which shall be binding on the client.
  7. Discrepancies, if any, should be sent to the branch or to email: [investorgrievances@bobcaps.in](mailto:investorgrievances@bobcaps.in)
  8. I/We confirm that, "non-receipt" of bounced mail notification by the member shall amount to delivery of the contract note at the email-id of the client.
  9. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI /Exchanges from time to time.
  10. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
  11. Any change in terms and conditions shall be intimated from time to time.
  12. I acknowledge and confirm that in case you do not receive a message of unsuccessful delivery or mail bounce, the message sent to you will be treated as delivered to you.
  13. Any change in my/our email ID shall be immediately intimated to BOB Capital Markets Ltd through physical letter separately. For Internet clients, change request in email ID can be made through secured access by way of client specific user ID and password.
- This instruction is several to all parties mentioned above.

Yours faithfully,

Client's Signature \_\_\_\_\_ Client Name: \_\_\_\_\_ Unique Client Code: \_\_\_\_\_

**Section B**

**Authorisation letter TO USE A COMMON EMAIL ID for multiple trading accounts of family members\* (Trading)**


To,  
BOB Capital Markets Ltd  
BKC, Bandra, Mumbai - 400051.  
Sir,

**Sub: Authorisation letter TO USE A COMMON EMAIL ID for multiple trading accounts of family members\***

We have opened the following Baroda-Etrade Online Trading Accounts of our family members\* with BOB Capital Markets Ltd. I hereby intimate BOB Capital Markets Ltd, that I will be using my personal email ID for all my other family members\* trading accounts as mentioned below.  
I shall be responsible for the mails received from BCML in the form of Bills, Contract Notes, Financial Statements or any other relevant mails for all my family members\* Trading accounts for whom my personal email ID has been registered with BCML.  
Kindly take the same on record.

Thanking you

Yours Truly

 \_\_\_\_\_

**Name & Signature of the Primary Account holder whose email ID has been used.**

\* Family Members:  spouse  dependent Children  Dependent Parent

A/c Holder Name \_\_\_\_\_ Client Code \_\_\_\_\_

Pan No. \_\_\_\_\_ Email address \_\_\_\_\_ Signature 

A/c Holder Name \_\_\_\_\_ Client Code \_\_\_\_\_

Pan No. \_\_\_\_\_ Email address \_\_\_\_\_ Signature 

A/c Holder Name \_\_\_\_\_ Client Code \_\_\_\_\_

Pan No. \_\_\_\_\_ Email address \_\_\_\_\_ Signature 

**Documents verified with Originals / Client Interviewed By / In-Person Verification (Demat & Trading)**

Employee	Documents verified with Originals / Client Interviewed By / In-Person Verification done by
Employee Name	
Employee Code	
Designation of Employee	
Date	
Signature & Stamp	

We undertake that we have made the client aware of the **Policies and Procedures'**, **Schedule of Charges** and all the non-mandatory documents. We have also made the client aware of **Rights and Obligations' document (s)**, **RDD and Guidance Note**. We have given/sent him a copy of all the KYC documents. We undertake that any change in the Policy and Procedures', Schedule of Charges and all the non-mandatory documents would be duly intimated to the clients. //We also undertake that any change, in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

 \_\_\_\_\_

Signature of the Authorised Signatory of BCML

Seal/Stamp of the BOB Capital Markets Ltd.

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



To,

The Chief Manager / Sr. Branch Manager,

Bank of Baroda, Branch  
.....

Dear Sir/Madam,

**Re: Letter to link the Bank of Baroda Saving Bank A/C Demat Account with Trading Account**

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

\_\_\_\_\_residing at \_\_\_\_\_

enclose the Power of Attorney executed on \_\_\_\_\_at MUMBAI in favour of M/s BOB Capital Markets Ltd and state that it is latest, current and valid as on date and request you to register the same for operations of Online Trading.

Name of the DP:- Bank of Baroda

NSDL/CDSL

**DP ID** \_\_\_\_\_

**Client ID** \_\_\_\_\_

1. Mr./Ms/M/s First Holder \_\_\_\_\_

2. Mr./Ms/M/s Second Holder \_\_\_\_\_

3. Mr./Ms/M/s Third Holder \_\_\_\_\_

The above said Account Holder/s is/are having Bank Account in the style mentioned below:

**Bank Name: Bank of Baroda**

**Bank Account No:** \_\_\_\_\_

1. Mr./ Ms. /M/s First Bank A/c Holder \_\_\_\_\_

2. Mr./ Ms. /M/s Joint Bank A/c Holder \_\_\_\_\_

3. Mr./ Ms /M/s Joint Bank A/c Holder \_\_\_\_\_

I/We undertake to intimate Bank of Baroda, depository services department of any changes / validity of the said Power of Attorney.

Yours faithfully,

1<sup>st</sup> Holder Signature \_\_\_\_\_

2<sup>nd</sup> Holder Signature \_\_\_\_\_

3<sup>rd</sup> Holder Signature \_\_\_\_\_

Place:-

**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 term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [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 without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

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

BO Account Details																			
DP ID												Client ID							
Name of 1 <sup>st</sup> / Sole Holder																			
Name of 2 <sup>nd</sup> Holder																			
Name of 3 <sup>rd</sup> Holder																			

Mobile Number on which messages 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; if any, is to be sent)

\_\_\_\_\_  
 Signatures                      Sole / First Holder                      Second Holder                      Third Holder

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

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

BO Account Details										Date dd/MM/YYYY										
DP ID										Client ID										
Name of 1 <sup>st</sup> / Sole Holder																				
Name of 2 <sup>nd</sup> Holder																				
Name of 3 <sup>rd</sup> Holder																				

To,  
**Depository Participant Name**  
**Address**

Dear Sir / Madam,

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

**Option 1**

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

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) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. 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			


**ACCOUNT OPENING, DEPOSITORY & TRADING CHARGES**
**Section B**


Sr. No.	Types of charges (Demat Charges)	Revised charges w.e.f. 01.09.2024
1	A/C opening Charges	NIL
2	Annual Maintenance Charges (AMC)	<p><b>General customer:</b>  <b>For individuals:</b> First year free for new accounts.  <b>From second year onwards</b> Rs. 500/- p.a. + GST  <b>For Non-Individual:</b> Rs. 700/- + GST (as applicable)</p> <p><b>For staff/Ex-staff:</b> 50% concession in AMC, provided first name of the a/c holder is of staff/Ex-staff member and that also in one Demat a/c only.</p> <p><b>BSDA customers:</b>  <b>For Individuals</b> - First year free for new accounts  Thereafter no AMC to be levied if the value of holding is up to ₹4,00,000/-  AMC will be charged at ₹100/- plus GST only for the value of holding from ₹4,00,001/- up to ₹10,00,000/-.</p>
3	Dematerialisation of Shares	Rs.5.00/- per certificate with min. Rs. 50/- + GST + actual postage
4	Rematerialisation	<p><b>NSDL Demat account:</b></p> <ul style="list-style-type: none"> <li>Rs. 10/- + GST + actual postage for every hundred securities or part hereof subject to maximum fee of Rs. 5,00,000/- or a flat fee of Rs. 10/- + GST + actual postage per certificate whichever is higher.</li> </ul> <p><b>CDSL Demat account:</b></p> <ul style="list-style-type: none"> <li>Rs. 30/- + GST + actual postage per certificate</li> </ul>
5	Transaction charges	<p><b>General customers:</b></p> <ul style="list-style-type: none"> <li>0.04% of market value subject to minimum Rs. 20/- + GST per transaction.</li> <li>For Debt instruments and commercial papers 0.03% of market value subject to minimum Rs. 20/- + GST per transaction.</li> </ul> <p><b>BCML customers (In Addition to Brokerage Charges):</b></p> <ul style="list-style-type: none"> <li>Transaction charges at Rs. 15/- + GST per debit instruction</li> </ul>
6	KYC Registering Agency Charges (KRA Charges)	<ul style="list-style-type: none"> <li>KRA charges @ Rs. 40/- + GST plus actual postage for new KYC data to be uploaded.</li> <li>KRA charges @ Rs. 40/- + GST per download will be applied.</li> <li>For modification in KRA of the existing client - KRA charges @ Rs. 30/- + GST (as applicable) plus actual postage charges</li> </ul>
7	<ul style="list-style-type: none"> <li>Pledge Creation</li> <li>Pledge Creation Confirmation</li> </ul>	<ul style="list-style-type: none"> <li>Rs. 100/- Plus GST (as applicable) per ISIN per request</li> <li>Rs. 100/- Plus GST (as applicable) per ISIN per request</li> </ul>
8	Pledge Closure & Confirmation	NIL
9	Pledge Invocation	Rs. 100/- + GST per ISIN per request
10	Failed Instruction charges	NIL
11	Other charges	<ul style="list-style-type: none"> <li>Additional A/c statement Rs. 5/- + GST per request.</li> <li>Sign verification or any other certificate &amp; freeze/unfreeze Rs. 50/- + GST per request.</li> <li>DIS booklet of 10 leaves free of cost at the time of a/c opening and thereafter subsequent DIS will be issued @Rs. 20/- + GST per booklet of 10 leaves for General customer.</li> <li>Two DIS slips only will be issued at the time of account opening to BSDA customer.</li> <li>Changes of address/ECS Rs. 30/- + GST per request</li> </ul>

12	Overdue charges	Interest @13% p.a. + GST will be payable for payment of services charges after due date
13	Transfer of securities from one DP to another DP consequent to account closure	Consequent to closure of account, no charges to be levied ,when beneficiary owner (BO) transfers all the securities lying in this account to another Branch of the same DP or to DP of the same depository or another depository, provided the BO accounts at transferee DP and at transferor DP are one and the same i.e. identical in all respects.
14	Other terms & condition	<ul style="list-style-type: none"> <li>• AMC will be recovered upfront on monthly prorata basis in new accounts and thereafter on 1<sup>st</sup> April every year.</li> <li>• Refund of AMC on closure of Demat account will be on quarterly basis e.g. if account is closed in the month of July, refund of AMC will be applicable for remaining two quarters i.e. December &amp; March of the financial year.</li> <li>• The services not listed above will be charged separately.</li> <li>• All the above charges are applicable uniformly to individuals, Non-individual except that AMC are different for individuals &amp; Non-individuals.</li> <li>• The charges are subject to revision from time to time at Bank's discretion</li> </ul>
15	Statutory Charges at the time of Account Opening	NIL
16	Advance/Deposit	NIL

<b>BOBCAPS TRADING &amp; BROKERAGE CHARGES</b>						
<b>Plan Opted</b>						
Charges	BOBCAPS Standard Plan	BOBCAPS 500 Plan	BOBCAPS 1K Plan	BOBCAPS 2K Plan	BOBCAPS 5K Plan	BOBCAPS 10K Plan
Account Opening Fees	<b>NIL</b>					
One Time Platform Fee (Exc. GST)	NIL	500	1,000	2,000	5,000	10,000
<b>Segment</b>	<b>Brokerage Rates</b>					
Equity Delivery#	0.40%	0.25%	0.20%	0.15%	0.10%	0.05%
Equity Intraday	0.04%	0.025%	0.02%	0.15%	0.01%	0.005%
Equity Futures*	Rs.40	Rs.25	Rs.20	Rs.15	Rs.10	Rs.5
Equity Options*	Rs.40	Rs.25	Rs.20	Rs.15	Rs.10	Rs.5
Currency Futures*	Rs.40	Rs.25	Rs.20	Rs.15	Rs.10	Rs.5
Currency Options*	Rs.40	Rs.25	Rs.20	Rs.15	Rs.10	Rs.5
<b>*Per Executed Order</b>						

 \_\_\_\_\_  
 Signature/Thumb Impression of Applicant

 \_\_\_\_\_  
 Signature/Thumb Impression of Applicant

 \_\_\_\_\_  
 Signature/Thumb Impression of Applicant

Note: We reserve the right to revise the tariff structure from time to time, with notice of 30 days. The notice may be given by ordinary post, email or published on our website. SGST of 9% and IGST of 9% totaling to 18% will be applicable on brokerage + transaction charges • Service Tax (ST), Securities Transaction Tax (STT), SEBI Turnover Charges, Transaction Charges and stamp duty will be charged in addition to brokerage as per Govt / Regulatory requirements. \* Minimum brokerage will be applicable per script.

\*Script below Rs. 50 in price, will be charged a minimum brokerage of Rs. 0.05 per share.

## **Rights & Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories**

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

### **Statement of account**

14. 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.
15. 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.
16. 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.
17. 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**

18. 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.
19. 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**

20. 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.

21. 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**

22. 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**

23. 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.

24. 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**

25. 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**

26. 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**

27. 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.

28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

29. 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.

30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

31. 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.

32. 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.

\_\_\_\_\_  
Signature/Thumb Impression of Applicant

\_\_\_\_\_  
Signature/Thumb Impression of Applicant

\_\_\_\_\_  
Signature/Thumb Impression of Applicant

### Third Party Product Terms and Conditions

I/We acknowledge and confirm that the information provided 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/We am/are aware that I/We may be liable for it. I/We hereby authorize you to disclose, share, remit any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / updation & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We understand that to serve me/us better, I/We hereby consent to Bank of Baroda Capital Markets ("BOBCAPS") to sharing the information, if required, about my/our account/s with the its group companies and vendors. I/We am/are aware that transaction rights are subject to me/us executing and granting Power of Attorney /Mandate in favour of BOB Capital Markets Ltd. as required from time to time. I/We authorize BOBCAPS to debit my/our above-mentioned Bank of Baroda bank account for the purchase of mutual fund units/securities in pursuance of the instructions given by me/us from time to time. To collect, receive and give good effectual receipts and discharges for any sum including dividend, interest or income arising from the units & to sign and endorse dividend and interest warrants. I/We hereby state that all acts, deeds and things undertaken by BOBCAPS based on such instructions shall be binding on me/us. Irrespective of the instructions given earlier, I/We, the second and third holders, irrevocably constitute the first holder as my/our agent and agree that the instructions given by the first holder to purchase mutual funds would be funded through the above-mentioned bank account. Irrespective of the instructions given earlier, I/We, the second and third holders agree that the instructions may be given by the first holder in name of the first holder only or first holder jointly with any other persons to the exclusion of second and third holders. I/We, the second and third holders will not raise any objections to BOBCAPS acting on such instructions. I/We hereby understand that BOBCAPS is acting as distribution agent of various mutual funds, insurance companies and other companies/ corporations/entities and is not as principal. I/We hereby agree and undertake not to hold BOBCAPS liable for any loss or damage caused by reason of failure or delay of any company/ corporation/ entities to deliver any units/securities purchased/ issuance of policy or failure or delay of any company/ corporation/ entities to make payment for any units/securities sold/ policy surrendered and shall keep BOBCAPS harmless and free from any claim in respect thereof.

BOBCAPS shall also not be liable for any delay, failure or refusal of the mutual fund/ insurance company/ any other company/ corporation or other entities in registering or transferring units/ policies/ other securities in my/ our name or for any interest, dividend or other loss caused to me/us arising therefrom. I/We agree and confirm that we acknowledge and understand that investments in mutual fund/ other securities are subject to market risks including possible loss of principal amount invested. The value of my/our units/ securities will fluctuate.

If I/We redeem/ liquidate my/our units/ securities, I/ We may receive more or less than I/We have paid depending upon the market value of the units/securities. Past results are not a guarantee of future performance. I/We expressly agree and acknowledge that all decisions to purchase or sell or surrender units/ securities/ policies are solely made by me/us on the basis of my/ our own personal judgment arrived at after due consideration. I/We agree and understand that BOBCAPS does not in any manner guarantee payment/liquidity/ redemption/ repayment of any units/securities/ dividends/interest/ any other income/profits nor does BOBCAPS make any offer for purchase or sale of any units/securities. BOBCAPS or its directors or employees shall not be liable for any advice or representation made to me/us in the course of investments made by me/us. I/We understand that the sum invested by me/us are not Bank deposits and are not insured/endorsed/guaranteed by Bank of Baroda or by BOBCAPS. I/We understand that insurance is subject matter of solicitation and issuance of policies and payment of claims are at sole discretion of the insurance company. I/We expressly understand and agree that Bank of Baroda, BOBCAPS, its subsidiaries and affiliates shall not be liable to me/us for any direct, indirect, incidental, special consequential or exemplary damages which may be incurred by you, however and under any theory of liability. This shall include but not be limited to any, loss of profit (whether incurred directly or indirectly), any loss of goodwill or business reputation or other intangible loss or for any damages which may be incurred by you whether BOBCAPS is advised of or should have been aware of the possibility of any such losses arising. I/We understand that BOBCAPS may at its absolute discretion, discontinue any of the Services completely or partially without any notice to me/us. I/We agree that the BOBCAPS may debit my account for service charges as applicable from time to time I/We agree and understand that the BOBCAPS's charges/fees are in addition to those levied by the mutual fund company as communicated in Scheme Information Document (SID) Statement of Additional Information (SAI)/Key Information Memorandum (KIM). I/We understand that the SID should be read in conjunction with the SAI at all times and not in isolation. I/We shall from time to time be required to acknowledge receipt of the current Schedule of Commissions paid by the AMCs to BOBCAPS which may be varied from time to time without any notice to me/us and the updated Schedule of Commission shall be available on BOBCAPS's website for reference. BOBCAPS will not be liable for any loss, damage, cost, charges or expenses directly or indirectly caused by reason of any defects or imperfection or mechanical or other failure with relation to computer, cable, telex, telephone or postal system and or due to reasons beyond its reasonable control. BOBCAPS may recommend products to me/us and may provide investments advice and conduct risk based assessments of transactions in my/our account from time to time however the final investment decision rests with me/us. I/We am/are aware that my/our investments may be negatively affected by foreign exchange risk if I/We hold funds that invest in assets denominated in foreign currencies. I/We understand that nomination will be as per the terms and conditions of the respective mutual fund schemes more specifically stated in its offer document. Any matter/dispute with respect to nomination and deceased claims with respect to mutual fund units shall be settled by me/us directly with concerned Asset Management Company/Mutual Fund without any reference to BOBCAPS or its associates. I/We understand that the nomination can be made only by individuals applying for holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu undivided family, holder of Power of Attorney cannot nominate. I/We hereby confirm that the EUIN is not required for transactions executed by me/us through BOBCAPS Online MF channel, as these are "execution-only" transactions without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of inappropriateness, if any, provided by the employee/ relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction. I/We hereby agree that the services provided by BOBCAPS are subject to the General terms and conditions as stated on its website [www.barodaetrade.com](http://www.barodaetrade.com)

Signature



Sole/First Holder



Second Holder



Third Holder

**Registered Office Address – Demat Department**

**BANK OF BARODA**

Central Back Office DP Operations, Baroda Sun tower, Ground Floor, BKC, Bandra (East),  
Mumbai - 400 051.  
Depository Participant - Bank of Baroda CDSL DP ID: 13018700 NSDL DP ID: IN300870

**Registered Office Address – Trading**

**BOB CAPITAL MARKETS LTD.**

Corporate Identity Number: U65999MH1996GOI098009  
1704 B Wing, 17th Floor Parinee Crescenzo, G Block Bandra Kurla Complex, Bandra (East),  
Mumbai - 400 051  
Phone: 022-6138 9300 / Fax: 022-6671 8535 • Email: [customercare@bobcaps.in](mailto:customercare@bobcaps.in)  
Website: [www.bobcaps.in](http://www.bobcaps.in) / [www.barodaetrade.com](http://www.barodaetrade.com)

Research Analyst SEBI Registration No. INH000000040

SEBI Registration No. and Date : INZ0001593

SEBI Investment Advisor Registration no: INA000014270

Name of trading member/clearing member	:	BOB Capital Markets Ltd. (BOBCAPS)
SEBI Registration No. and date	:	INZ000159332
Registered office address:	:	1704, B Wing, 17th Floor, Parinee Crescenzo, G Block, Bandra Kurla Complex, Bandra (East), Mumbai – 400051.
Phone	:	9122 – 6138 9300 Fax: 9122- 6671 8535
Website	:	<a href="http://www.bobcaps.in">www.bobcaps.in</a>   <a href="http://www.barodaetrade.com">www.barodaetrade.com</a>
Correspondence office address	:	1704, B Wing, 17th Floor, Parinee Crescenzo, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051. Phone: 9122 – 6138 9300
Website	:	<a href="http://www.bobcaps.in">www.bobcaps.in</a>   <a href="http://www.barodaetrade.com">www.barodaetrade.com</a>
Compliance officer name phone no. & email id	:	Mr. Sameer Khobrekar / 9122 -6138 9358 / <a href="mailto:compliance@bobcaps.in">compliance@bobcaps.in</a>
CEO name, phone no. & email id	:	Mr. Sanjeev Dobhal MD & CEO 9122 – 6138 9300 / <a href="mailto:md.ceo@bobcaps.in">md.ceo@bobcaps.in</a>

For any grievance/dispute please contact stock broker (name) at the above address or  
Email id: [investorgrievance@bobcaps.in](mailto:investorgrievance@bobcaps.in) and Phone no. 91-22-61389300.

In case not satisfied with the response, please contact the concerned exchange(s):-

NSE Investors Grievance Cell : Email ID - <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> Tel No. - (022) 26598190 / 1800 2200 58	BSE Investors Services : Email ID - <a href="mailto:is@bseindia.com">is@bseindia.com</a> Investor Services Telephone No. : (022) 2272 8016 22728282
NSDL Investors Services : Email ID - <a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a>	CDSL Investors Services : Email ID - <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a> Tel No. - Toll Free No. 1800-200-5533
SEBI Score Details	<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a> Helpline 1800 266 7575 or 1800 22 7575