

Application Form (Please tick relevant boxes):	<input type="checkbox"/> 3 in 1 form	<input type="checkbox"/> 2 in 1 form	<input type="checkbox"/> 1 in 1form	<input type="checkbox"/> CDS
Scheme Type	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LG Code	<input type="checkbox"/>	LC Code	<input type="checkbox"/>	Company Code
Branch Name	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Branch Code

Branch Inward Stamp &  
Authorised Signatory with  
Stamp

CPU Inward Stamp &  
Authorised Signatory with  
Stamp

## INDEX

Name of the document	Brief Significance of the document	Section	Page No.
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	B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	PART A	7
Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading).	PART B	1
Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	7
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**Registered Office Address:** I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.  
Ph.: (022) 3075 3400 Fax : (022) 3075 3435 Website: www.hdfcsec.com

**Correspondence Office Address:** Trade Globe, 2nd Floor, Kondivita, Andheri-Kurla Road, Andheri East. Mumbai-400059.  
Ph.: (022) 3901 9400 Fax : (022) 2834 6690.

**Compliance Officer Name, Phone No. & Email ID:** Mr. Baiju Budhwani, (022) 3045 3600, complianceofficer@hdfcsec.com

**CEO/M.D. Name, Phone No. & Email ID:** Mr. Aseem Dhru, (022) 6741 9951, md@hdfcsec.com

Exchange	Member Code/ID	SEBI Registration No.	Segment	Date	<p>For any grievance/dispute please contact HDFC Securities Ltd. at the above address or email id - customercare@hdfcsec.com and Phone no.: (0+ local area code + 3901 9400) and for escalation you may write to us at services@hdfcsec.com.</p> <p>In case not satisfied with the response, please contact concerned exchanges BSE at is@bseindia.com and Phone no. 022 2272 8097 and NSE at ignse@nse.co.in and Phone No. 1800 22 0058.</p>
BSE	393	INB011109437	Cash	27Jun 2000	
BSE	393	INF011109437	Derivatives	12 Mar 2001	
NSE	11094	INB231109431	Cash	16 Aug 2000	
NSE	11094	INF231109431	Derivatives	08 Jan 2001	
NSE	11094	INE231109431	Currency	28 Aug 2008	
MCX-SX	10640	INB261109434	Cash	11 Jan 2013	
MCX-SX	10640	INF261109434	Derivatives	11 Jan 2013	
MCX-SX	30000	INE261109431	Currency	08 Oct 2008	

HDFC Securities is registered as a trading cum clearing member in all exchanges

### RUNNING ACCOUNT AUTHORISATION

I confirm that my account may be maintained on a running account basis, whereby instead of paying any amounts or securities representing mark to market profits, you shall retain, withhold, set-off and / or appropriate the same for such purposes and in such manner as you deem fit and release the funds and / or securities due to me, on my specific request, either written or oral. I am aware that I have the right to amend or revoke this authorisation, at any time, by way of an amendment / revocation letter.

I confirm that you may settle the account once every calendar  Quarterly or  Monthly

S1

Authorised Signatory

### OTHER CONSENT

- As a subscriber to the services offered by HDFC securities Ltd. I hereby instruct HDFC securities Ltd. to provide the following communications through the medium of short messages services and / or telephone calls on my registered phone number(s):
  - Research and investment ideas whether developed in-house and / or by outsourced agencies;
  - Market related alerts;
  - Offers or subscription to new products / services from time to time;
  - Account and trading related information and other notifications pursuant to the services provided under the captioned agreement;
  - Information relating to investment products and services;
  - Any other service to aide in wealth creation process.

S2

Authorised Signatory

(Do not sign if you not wish to receive commercial calls and / or messages)

### CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS

- I acknowledge and declare that I have received, read and understood, acknowledged and agreed to the contents of –
  - the rights and obligations document [PART B-page no. 1],
  - the risk disclosure document [PART B-page no. 7],
  - the policies and procedures [PART B-page no. 14],
  - the additional rights and obligations document [PART C-page no. 1].
  - Payment instruction for charges

A/C opening charges  Currency Derivatives segment charges  Total

Payment Mode	<input type="checkbox"/> Cheque	Cheque No. <input type="text"/>	Dated <input type="text"/>	Bank Name _____
	<input type="checkbox"/> Direct Debit from HDFC Bank A/C no.	<input type="text"/>		
	<input type="checkbox"/> None			

S3

Authorised Signatory

Name:

Date:

Place:

We request you to open a trading account in our name as per the following details:

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**IDENTITY DETAILS**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

NAME OF THE APPLICANT \_\_\_\_\_

DATE OF INCORPORATION \_\_\_\_\_ PLACE OF INCORPORATION \_\_\_\_\_

DATE OF COMMENCEMENT OF BUSINESS \_\_\_\_\_ PAN OF KARTA (In case of HUF) \_\_\_\_\_

PAN (Please attach a copy of PAN card) \_\_\_\_\_

REGISTRATION NO. (e.g. CIN) \_\_\_\_\_

STATUS (Please tick any one)  PVT. LTD. CO.  PUBLIC LTD. CO.  PARTNERSHIP FIRM  TRUST  
 LLP  HUF  CHARITIES  NGOs  FI  
 FI  AOP  BANK  GOVERNMENT BODY  BOI  
 NON GOVERNMENT ORGANISATION  DEFENSE ESTABLISHMENT  SOCIETIES  OTHERS (specify) \_\_\_\_\_

**ADDRESS DETAILS**

**CORRESPONDENCE ADDRESS** (House No./Bldg. No.) \_\_\_\_\_

LANDMARK \_\_\_\_\_

BLOCK NO./STREET \_\_\_\_\_

CITY/TOWN/VILLAGE \_\_\_\_\_ PIN CODE \_\_\_\_\_

STATE \_\_\_\_\_ COUNTRY \_\_\_\_\_

TEL: (R) \_\_\_\_\_ (O) \_\_\_\_\_

FAX \_\_\_\_\_

SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR CORRESPONDENCE ADDRESS: \_\_\_\_\_

**REGISTERED ADDRESS** (Same as Above)  Yes  No House No./Bldg. \_\_\_\_\_

LANDMARK \_\_\_\_\_

BLOCK NO./STREET \_\_\_\_\_

CITY/TOWN/VILLAGE \_\_\_\_\_ PIN CODE \_\_\_\_\_

STATE \_\_\_\_\_ COUNTRY \_\_\_\_\_

SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR REGISTERED ADDRESS: \_\_\_\_\_

**DECLARATION:**

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.

First Signatory	Second Signatory	Third Signatory	Fourth Signatory	Fifth Signatory
<b>S4</b> X Signature of Authorised Signatory	<b>S4</b> X Signature of Authorised Signatory	<b>S4</b> X Signature of Authorised Signatory	<b>S4</b> X Signature of Authorised Signatory	<b>S4</b> X Signature of Authorised Signatory
Name _____	Name _____	Name _____	Name _____	Name _____
DDMMYYYY	DDMMYYYY	DDMMYYYY	DDMMYYYY	DDMMYYYY
Common Seal	Common Seal	Common Seal	Common Seal	Common Seal

**FOR BANK USE ONLY**

(Originals verified) and Self –Attested Document copies received

**In-Person-Verification (IPV) details:**

Name of the Person doing IPV \_\_\_\_\_ Branch code \_\_\_\_\_

Signature of the Person doing IPV \_\_\_\_\_ Designation & Emp. code \_\_\_\_\_

Name and Signature of Authorised Signatory \_\_\_\_\_ DDMMYYYY  
**Name of the organisation:** HDFC Bank Ltd.

Seal / Stamp of HDFC Bank

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. For foreign entities, CIN is optional and in the absence of DIN number for the directors, there passport copy should be given.
7. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
8. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted
9. Demat master or recent holding statement issued by DP bearing name of the client
10. 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.
11. Form need to be initialized by all the authorized signatories.
12. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures

Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

Proof of Address (POA): - List of documents admissible as Proof of Address:

(\* Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

Exemptions/clarifications to PAN

(\* Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**List of people authorised to attest the documents:**

Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).

## OTHER DETAILS

Name, PAN, residential address, DIN/UID, photograph of Promoters/Partners/Karta/Trustees/whole time directors

1. NAME											<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="background-color: blue; color: white; padding: 5px; transform: rotate(-5deg); font-weight: bold;">Signature across photograph</div> <div style="color: orange; font-weight: bold; font-size: 1.2em; margin-top: 10px;">S5</div> </div>
PAN	UID / DIN										
Address											
City						Pin Code					
State											
Mobile											
Email ID											
2. NAME											<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="background-color: blue; color: white; padding: 5px; transform: rotate(-5deg); font-weight: bold;">Signature across photograph</div> <div style="color: orange; font-weight: bold; font-size: 1.2em; margin-top: 10px;">S5</div> </div>
PAN	UID / DIN										
Address											
City						Pin Code					
State											
Mobile											
Email ID											
3. NAME											<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="background-color: blue; color: white; padding: 5px; transform: rotate(-5deg); font-weight: bold;">Signature across photograph</div> <div style="color: orange; font-weight: bold; font-size: 1.2em; margin-top: 10px;">S5</div> </div>
PAN	UID / DIN										
Address											
City						Pin Code					
State											
Mobile											
Email ID											
4. NAME											<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="background-color: blue; color: white; padding: 5px; transform: rotate(-5deg); font-weight: bold;">Signature across photograph</div> <div style="color: orange; font-weight: bold; font-size: 1.2em; margin-top: 10px;">S5</div> </div>
PAN	UID / DIN										
Address											
City						Pin Code					
State											
Mobile											
Email ID											
5. NAME											<div style="border: 1px solid black; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <div style="background-color: blue; color: white; padding: 5px; transform: rotate(-5deg); font-weight: bold;">Signature across photograph</div> <div style="color: orange; font-weight: bold; font-size: 1.2em; margin-top: 10px;">S5</div> </div>
PAN	UID / DIN										
Address											
City						Pin Code					
State											
Mobile											
Email ID											

Note: If there are more than 5 promoters / partners involved, please attach a separate sheet with all details required.

**Name, PAN, Residential Address, DIN/UID, Photograph of persons authorised to deal in securities on behalf of the company / Firm / Others**

1. NAME

PAN  
DESIGNATION  
Address

City  
State  
Email ID

UID / DIN

Pin Code

Mobile

Signature across  
photograph

S6

2. NAME

PAN  
DESIGNATION  
Address

City  
State  
Email ID

UID / DIN

Pin Code

Mobile

Signature across  
photograph

S6

3. NAME

PAN  
DESIGNATION  
Address

City  
State  
Email ID

UID / DIN

Pin Code

Mobile

Signature across  
photograph

S6

4. NAME

PAN  
DESIGNATION  
Address

City  
State  
Email ID

UID / DIN

Pin Code

Mobile

Signature across  
photograph

S6

5. NAME

PAN  
DESIGNATION  
Address

City  
State  
Email ID

UID / DIN

Pin Code

Mobile

Signature across  
photograph

S6

UDN

**TRADING ACCOUNT RELATED DETAILS****BANK ACCOUNTS DETAILS:**

Bank Name:  Account Type:  Savings  Current  
 Branch Code  or Branch Address   
 Bank A/C No.   
 IFSC Code  MICR Number:

**DEPOSITORY ACCOUNTS DETAILS:**

Depository Participant Name   
 Beneficiary Name:   
 Depository Name (tick one)  NSDL DP ID  Beneficiary ID (BO ID)   
 CDSL Beneficiary ID (BO ID)

**TRADING PREFERENCES:**

\* Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	Cash Market	Future & Options	Currency Derivative
National Stock Exchange (NSE)	S7 <input checked="" type="checkbox"/> Authorised Signatory	S8 <input checked="" type="checkbox"/> Authorised Signatory	S9 <input checked="" type="checkbox"/> Authorised Signatory
Bombay Stock Exchange (BSE)	S10 <input checked="" type="checkbox"/> Authorised Signatory	N.A.	N.A.

# If in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker, Please specify the proof submitted to avail the privileges to trade in derivatives segment:

**PAST ACTION:** 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 in charge of dealing in securities during the last 3 years:  No **If yes, please specify:**

**DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS:**  Not dealing,  If yes, please mention details below:

Sub-Broker's Name:  SEBI Registration number:   
 R. O. Address:  Phone:  Fax:  Website:   
 Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
 Name of Stock Broker:  Name of Sub-Broker, if any:   
 Client Code:  Exchange:   
 Details of disputes/dues pending from/to such stock broker/sub-broker:

**ADDITIONAL DETAILS:** I/we wish to receive  Electronic Contract Note (ECN) OR  Physical contract note (PCN)

E-mail ID for ECN

I wish to avail of the facility of internet trading/ wireless technology:  Yes  If No, Please Specify:

Number of years of Investment/Trading Experience:  No prior Experience  Y Y Stock  Y Y Derivatives

Y Y Other investment related field  Any other information:

Any other information:

**OTHER DETAILS** (Please tick in the relevant boxes)

GROSS ANNUAL INCOME DETAILS (Income Range per annum):  1 lakh  1 to 5 lakh  5 to 10 lakh  10 to 25 lakh  
 25 lakh-1 crore  above 1 crore

NET-WORTH as on (date)  (Net worth should not be older than 1 year)

Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Trustees / whole time directors / KARTA:

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

Any other information:

**INTRODUCER DETAILS (Optional)**

Name:

Status:  Sub Broker  Remisier  Authorized Person  Existing Clients  Others, Please specify \_\_\_\_\_

Address:

Phone:

Signature of Introducer

**NOMINATION DETAILS (for individuals only)**

**DECLARATION**

1. 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.
2. 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.
3. 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, i.e www.hdfcsec.com

S11  
X Authorised Signatory

Place:

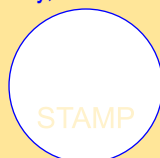
**FOR OFFICE USE ONLY (Details to be filled by person who has done the OSV on the supporting documents)**

UCC Code allotted to the Client:

Documents verified with Originals and In-Person Verification done by	Client Interviewed By
Employee Name <input type="text"/>	<input type="text"/>
Emp. Code <input type="text"/> Designation <input type="text"/>	<input type="text"/> Designation <input type="text"/>
Date <input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
Signature of Authorised Signatory	Signature of Authorised Signatory

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/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.

Date:



Signature of Bank official



To  
 1. HDFC Bank Limited: HDFC Bank House, C. S. No. 6/242, Senapati Bapat Marg, Lower Parel, Mumbai 400 013.  
 2. HDFC Securities Limited, I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400 042.

Dear Sirs,  
 Re: Mandatory Rights and Obligations prescribed by SEBI  
 Non- mandatory Additional Rights and Obligations Confirmation dated \_\_\_\_\_, 20\_\_\_\_ ("Additional Rights and Obligations Confirmation") by the Client (as described below) ("Client") in favour of HDFC Securities Limited ("HDFC Securities")

#### Background

The Client is desirous of investing and/ or trading in securities, making investments and entering into various transactions (hereinafter, for the sake of convenience, collectively referred to as "Securities") with or through HDFC Securities and for this purpose the Client has signed the account opening form together with the Mandatory Rights and Obligations prescribed by SEBI and Additional Rights and Obligations Confirmation by the Client in favour of HDFC Securities (hereinafter collectively referred to as the "Account Opening Documentation").

Pursuant to the provisions of the Account Opening Documentation, the Client and the other account holders (described below, if any) (hereinafter collectively referred to as the "Account Holder / Joint Account Holders") have designated the bank accounts and demat accounts which are maintained with HDFC Bank Limited ("HDFC Bank") and are described in the Schedule below as the Associated Accounts for the purposes of the Account Opening Documentation;

The Account Holder is / Joint Account Holders are the holder / holders of one or more of the Associated Accounts as stated in the Schedule below;  
 Under the terms of the Account Opening Documentation, the Account Holder is / Joint Account Holders are required to execute and deliver a power of attorney to HDFC Bank and instructions to HDFC Bank and HDFC Securities in respect of the Associated Accounts of which they are the holder / holders, which the Account Holder / Joint Account Holders hereby does / do as under:-

#### POWER OF ATTORNEY

1. I/We, the Account Holder / Joint Account Holders, do hereby nominate and appoint HDFC Bank, acting through any of its officers or employees or any sub- agents or delegates, to be my/our true and lawful agents and attorney for me/us and on my/our behalf and in my/our name from time to time, to do and exercise or cause to be done and exercised all or any of the following acts, powers and authorities:

a. To block, hold and/or create / mark a lien, charge or hypothecation on one or more of the Associated Accounts or all or any of the money or securities therein including in the internal systems of the Bank or the systems of the Depository, as HDFC Bank may deem fit and thereafter without any further instructions (this writing constituting my/our instructions to do so) to transfer all the said money and/ or the securities to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise or in accordance with the instructions of HDFC Securities.  
 b. To transfer any securities or money from any Associated Account(s) to HDFC Securities or any account(s) of HDFC Securities specified in the schedule hereto or to such other accounts as may be specified on the website of HDFC Securities and by electronic mail or otherwise for the following purposes:

(i) towards stock exchange related margin/delivery and/or settlement obligations arising out of trades executed by me/us on the stock exchange through HDFC Securities;  
 (ii) for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through HDFC Securities;  
 (iii) for meeting obligations arising out of my/our subscription to securities (whether in my/our name or otherwise) of all kinds, whether listed or unlisted,

including units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, money market instruments or such other products / facilities/ services, of the like nature offered by HDFC Securities, from time to time or in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation;

(iv) towards monies/ fees/ charges, or the like due to HDFC Bank and/or HDFC Securities payable by virtue of my/ us using/ subscribing to any of the facilities/ services availed by me/ us. Provided that no securities shall be transferred for any 'off market trades'. Provided further, that any funds or securities that have been erroneously transferred to HDFC Securities / received by HDFC Bank, or that HDFC Securities or HDFC Bank were not entitled to receive, shall be re-transferred / returned to the associated account from which they were transferred.

c. To sign, deliver and/or acknowledge all instructions, forms, transfer deeds, depository forms and instruments, cheques, drafts, slips, receipts and other instruments and writings which are required, necessary or advisable for performing all or any of the powers or authorities hereby conferred.

d. To apply for, subscribe to, purchase, redeem and/or sell in any other manner acquire or dispose of securities (whether in the name of the Client or otherwise) of all kinds, whether listed or unlisted, including units of Unit Trust of India or other mutual funds, government securities, negotiable instruments, certificates of deposits, participation certificates, commercial paper, bank deposits, money market instruments or other instruments of like nature. In this power of attorney, the term Securities shall include Securities as defined by the Securities Contracts (Regulation) Act, 1956 as amended from time to time.

e. To receive and hold certificates, title documents, deposit receipts, account statements and other documents and writings pertaining to the securities mentioned above and/or any amount invested, advanced or expended by me/us or on my/our behalf and to acknowledge receipt of the same

f. To enter into derivatives contracts on my/our behalf.

g. To sign and endorse all such application forms, transfer deeds, deposit receipts, redemption requests, depository forms, negotiable and other instruments, contracts and other writings and do all such acts as may be required for all or any of the above purposes or otherwise in connection with any transaction effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation. For this purpose HDFC Bank may act on the basis of any certificate or writing by HDFC Securities that any transaction is effected or entered into or proposed to be effected or entered into by HDFC Securities pursuant to the said Account Opening Documentation and the same will be binding on the Account Holder / Joint Account Holder(s) and any other person relying on this power of attorney.

h. To collect, receive and give effectual receipts and discharges, for any sums payable/ receivable on securities or other documents or items deliverable to the Account Holder / Joint Account Holder(s) and to endorse such dividend and interest warrants.

i. To send a consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by short message service or through email on a daily basis. PROVIDED THAT HDFC Bank shall exercise the powers and authorities conferred under the above power of attorney only pursuant to instructions in that behalf given by the Client, which instructions may be given orally, over the telephone, through the internet, through a kiosk, electronically or in any other manner acceptable to HDFC Bank and such instructions given to HDFC Bank or HDFC Securities shall be admissible in evidence and shall not be questioned by me/us and shall be conclusive and binding against me/us. AND PROVIDED FURTHER THAT the aforesaid powers and authorities may (at HDFC Bank's and/or HDFC Securities' option) be exercised by HDFC Bank on behalf of the Client alone or all or any of the Joint Account Holders, and any such exercise shall be binding upon the Account Holder / all the Joint Account Holders. AND I/We the Account Holder / Joint Account Holders do authorize HDFC Bank to, from time to time and without requiring my/our further instructions or consent (this writing

constituting my/our consent):-

(i) appoint any sub-agent(s) and/or delegate all or any of the powers granted under the above power of attorney to one or more persons or entities of HDFC Bank's choice on such terms as HDFC Bank may think fit, and  
 (ii) to remove such sub-agents and withdraw all or any of such delegated powers. PROVIDED THAT in the event of any merger/demerger of HDFC Securities or HDFC Bank with any other entity or into another entity, the Client shall be given a prior intimation of such corporate restructuring, not less than one month in advance of any such restructuring taking effect, which intimation may be inter alia given over the phone, through the website of the companies or electronically.

#### INSTRUCTIONS

2. I/We the Account Holder / Joint Account Holders, do hereby agree and declare that:

i. The Account Holder / Joint Account Holders of any Associated Account(s) shall at all times make available sufficient funds/ securities in the Associated Account(s) for the purpose of the transactions to be carried out pursuant to the Account Opening Documentation and shall not, without HDFC Securities prior written consent, close an Associated Account or directly or indirectly operate or give instructions in respect of any Associated Account which may prejudice HDFC Securities rights under the Account Opening Documentation or the transactions undertaken thereunder or any power or authority exercisable by HDFC Bank under the above power of attorney or which would be contrary to the provisions of the Account Opening Documentation or any acts by HDFC Bank pursuant to the above power of attorney.

ii. The Account Holder / Joint Account Holders of any Associated Account(s) agree that

(a) instructions given by the Client to HDFC Bank to block funds or securities in or to transfer funds or securities from an Associated Account in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities will be given first priority over any other instructions or cheques (whether prior or subsequent) given or issued by the Account Holder / any Joint Account Holder by itself or through any other attorney,

(b) funds or securities once blocked on the instructions of the Client in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities can be released only with the express written consent of HDFC Securities to HDFC Bank; and

(c) if the Client has given any blocking, holding, debit or other instructions in respect of any securities or money in any Associated Account, in connection with any transaction entered into and/or to be entered into by the Client with or through HDFC Securities, and HDFC Securities receives transfer, debit or other instructions in respect of such securities or money from the Account Holder / any Joint Account Holder or any other person, then HDFC Bank shall first give effect to the first mentioned instructions and shall also transfer the concerned securities and money to HDFC Securities account;

(d) in the event of any instructions being provided to HDFC Bank which could in any manner prejudice any securities blocked by HDFC Bank, HDFC Bank shall be entitled to transfer to its own accord the said blocked securities to HDFC Securities ("Forced Transfer")

iii In case of death, disability, winding up, Dissolution or liquidation of the Account Holder / any Joint Account Holder, HDFC Bank shall be entitled to immediately freeze the Associated Accounts, and the power of attorney, shall be revoked as regards the Account Holder / such Joint Account Holder upon the intimation in writing to HDFC Bank and HDFC Securities of such death, disablement, dissolution, winding up or liquidation by the Account Holder/ Joint Account Holder (as the case may be) or the surviving Joint Account Holder/s (if any) or in the case of a sole Account Holder, by the nominee of the Account Holder or the legal representative of the Account Holder where no nominee has been appointed, and the instructions and agreements contained herein shall be revoked within two days of such intimation.

iv. In the event of any change in the number, nature or securities and/or the

ISIN number of the securities (during any period in which any securities are blocked pursuant to the aforesaid power of attorney) as a consequence of any corporate action of the concerned company implemented by the Depository, HDFC Bank shall be entitled to accordingly modify the block created to accommodate the changes in ISIN number, the number/nature/quantity of securities maintaining the block at the same percentage of the share capital of the company concerned as originally blocked.

v. In the event of any overriding instructions of the Depository or any court of law resulting in any unavailability of securities, HDFC Bank shall not be obliged to perform any instructions. Provided that in the event that free and clear securities are available with HDFC Bank even after performance of such overriding instruction(s), HDFC Bank shall be entitled to appropriate the securities on a 'first block' basis; "first block" basis would mean that priority would be given amongst various securities traders/brokers on the basis of the timing and the date of blocking. The person in whose favour the first block is created would be given the first priority in terms of delivery of such free and clear securities.

vi. Due to any systems used for executing instructions there could be consequent delay of one business day (in the normal course) or other number of days (for reason not in control of HDFC Bank) from the date of receipt of the instructions to the actual execution of the instructions on the systems of the relevant Depository and hence instructions will be provided well in advance in order to enable timely delivery. Further all instructions, whether for a hold or transfer or otherwise would be in respect of the balances in the Associated Accounts on the previous day and HDFC Bank would not permit blocking/transfer of any other action in respect of securities which have come to the credit of the Associated Accounts on the current day.

vii. I/We have perused the Account Opening Documentation and consent to the provisions thereof. The aforesaid power of attorney has been granted, the instructions herein have been given and the agreements herein contained have been agreed to by me/us in consideration of the Account Opening Documentation and the mutual rights, covenants and obligations thereunder.

ix. This Power of Attorney may be revoked by the Client at any time, however, such revocation shall not affect the obligations of the Client outstanding at the time such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance of this Power of Attorney and all outstandings towards HDFC Securities or HDFC Bank have been settled.

3. This power of attorney shall come into force upon its acceptance by HDFC Bank.

I/We the Client and the other account holders have hereby executed this Power of Attorney and instructions

at \_\_\_\_\_ on the \_\_\_\_\_

day of 20 \_\_\_\_\_.

Accepted  
For HDFC Bank Limited Date: \_\_\_\_\_

Authorised Signatory Place: \_\_\_\_\_

ASSOCIATED BANK ACCOUNT DETAILS :-

HDFC BANK A/C: \_\_\_\_\_

Customer/UCIC ID: \_\_\_\_\_

Account Type: \_\_\_\_\_ Branch \_\_\_\_\_

First Holder Name _____	S12
* Constitution _____	X Signature of 1st holder
Address _____	
_____	
Second Holder Name _____	
* Constitution _____	X Signature of 2nd holder
Address _____	
_____	
Third Holder Name _____	
* Constitution _____	X Signature of 3rd holder
Address _____	
_____	

ASSOCIATED DEPOSITORY ACCOUNT DETAILS :-

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

Name of Depository: \_\_\_\_\_

First Holder Name _____	S13
* Constitution _____	X Signature of 1st holder
Address _____	
_____	
Second Holder Name _____	
* Constitution _____	X Signature of 2nd holder
Address _____	
_____	
Third Holder Name _____	
* Constitution _____	X Signature of 3rd holder
Address _____	
_____	

\* CONSTITUTION: Individual / HUF / Company / Body corporate incorporated under the Companies Act, 1956 / a partnership firm registered under the Indian Partnership Act 1932, comprising of \_\_\_\_\_ as partners / Others (Please specify)

List of HDFC securities Ltd. bank & demat accounts where funds & securities can be moved.

Bank Name	HDFC BANK LTD.
Account no	
00602030000061, 00602340029392, 00602340029400, 00602340029410, 00602340029427, 00602340029434, 00602340029444, 00602340029451, 00602340029461, 00602340029478, 00602340029488, 00602340029616, 05422320002170, 15772340000727.	

Name of the Depository Participant		HDFC BANK LTD.
NSDL		
DP ID	CLIENT ID	
IN300126	11178642, 11178157, 11248012	
IN300476	41012590, 41012604, 41561832, 41561840, 41561858, 41012612	
IN301549	15199927, 14592379, 18030756, 37528031, 37528040	
CDSL		
DP ID	CLIENT ID	
13012400	00005785, 00004711, 00004724, 00444628, 00475363	

**CLIENT REGISTRATION FORM – MUTUAL FUND****Mutual Fund Service System Facility (MFSS) / BSE StAR MF Client Registration Form**

I/We am/are registered as your client \_\_\_\_\_ with above

mentioned UDN No./ Client Code No \_\_\_\_\_ or the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

• I/We am/are interested in availing the MFSS / BSE StAR MF facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS / BSE StAR MF of the Exchange.

For the purpose of availing the MFSS / BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS / BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date. • I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 (NSE) / December 02, 2009 (BSE) and as may be specified by the Exchange from time to time in this regard. • I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI). • I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. • I/We therefore request you to register me/us as your client for participating in the MFSS / BSE StAR MF. • I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Thanking you,

For MFSS (NSE)

For BSE StAR MF

Yours faithfully,

S14

X Authorised Signatory

S15

X Authorised Signatory

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**Details of terms & conditions for the Investor / Client for using New MFSS facility/ BSE StAR MF platform**

**1. Pre-requisites for becoming Investor / Client for the New MFSS facility/ BSE STAR MF platform**

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS/ the BSE STAR MF.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant/ the broker who is a Mutual fund Intermediary (MFI) of the New MFSS/ BSE STAR MF platform.
- 1.3. The client has satisfied itself of the capacity of the Participant/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant/MFI before executing transacting through the Participant/MFI.
- 1.4. The Client has approached to the Participant/MFI with the application for availing the New MFSS facility/ BSE STAR MF platform.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants/MFIs.

P. T. O.



## 2. Terms and Conditions

- 2.1 The client shall be bound by circulars/notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL since 2009 onwards and circulars issued thereafter and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form' provided by the client to the Participant/MFI at the time registering as a client for participating in the New MFSS/ STAR MF platform or at any time thereafter.
- 2.3. The client shall submit to the Participant/MFI a completed application form in the manner prescribed format for the purpose of placing an order with the Participant/MFI.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of NSEIL/BSE, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant/MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.
- 2.8. The client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL).
- 2.10. In case of any dispute between the Participants/MFIs and the investors arising out of the MFSS facility/ BSE STAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

### Disclosure

As per SEBI circular: SEBI/IMD/CIR No. 4/168230/09, following are the details of the comparative commission earned by HDFC securities Limited (AMFI Reg. No. 13549) from various fund-houses, whose products are being distributed:

Fund Schemes	Upfront Brokerage/Upfront Commission	Trail year 1	Trail year 2 onwards
Equity and Balanced	0% to 1.5%	0% to 1%	0% to 1%
Index	0% to 1%	0% to 0.75%	0% to 0.75%
ELSS	0% to 2%	0% to 0.75%	0% to 0.75%
Asset Allocation	0% to 1.5%	0% to 1%	0% to 0.1%
Arbitrage Funds	0% to 1%	0% to 1%	0% to 0.50%
Monthly Income Plans	0% to 1.5%	0% to 1%	0% to 0.50%
Gilt	0% to 1%	0% to 1%	0% to 0.50%
Income	0% to 1.5%	0% to 1%	0% to 1%
Short Term	0% to 0.05%	0% to 0.50%	0% to 0.50%
Liquid & Floating Rate	0% to 0.05%	0% to 0.50%	0% to 0.50%

HDFC securities could also get reimbursements towards promotion and marketing related activities conducted by HDFC securities on behalf of AMCs. These reimbursements are event based and the same may or may not be received from AMCs in a particular period. Further, since such activities may be carried out at AMC level, reimbursement amount received cannot be attributed to any specific scheme being offered by such AMC.

This is on a best effort basis and rates are updated as and when actual rates are received from AMCs.

The above Schedule of Commissions is as of 1st August 2009. It is subject to change, without any prior consent and at a sole discretion and agreement between HDFC securities and the respective Mutual Fund houses.

### Declaration I am fully aware that

- ☞ I would need to keep clear balances in my linked Bank/DP accounts for the transaction to be processed.
- ☞ I have understood the terms and conditions attached herewith and agreed to the same.
- ☞ I have understood HDFC securities will place my order on a best effort basis.
- ☞ Mutual Fund investments are subject to market risk, please read the Statement of Additional Information (SAI)/Offer document (OD)/Scheme Information Document (SID) carefully before investing.

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

**Application for Net Banking facility for Companies / Trusts /  
Co-operative Societies / Association of Persons / Clubs**

**DETAILS OF FIRM / AUTHORISED SIGNATORY**

<b>Name of Firm / Entity</b>	:	
<b>Cust ID</b>	:	
<b>Authorised Signatory</b>	:	
<b>Authorised Signatory Cust ID</b>	:	
<b>Authorised Signatory e-mail ID</b>	:	

We refer to the current account opened by us bearing No. \_\_\_\_\_ (“said account”) at \_\_\_\_\_ branch of HDFC Bank Ltd.,

Pursuant to and in partial modification of the authority given by way of Resolution of the Board of Directors / Trustees / Managing Committee to operate the said account, in order to facilitate the operation of the said account, we hereby request HDFC Bank to allow Mr. \_\_\_\_\_ being a Director / Trustee / Authorised Signatory to operate the said account through NetBanking facility (doing so singly) by using the Customer ID and the NetBanking IPIN (password) on the terms and conditions detailed hereunder which have been read and understood by us. We acknowledge that the same are in addition to and not in derogation of the terms and conditions relating to the said account and NetBanking facility.

1. Mr. \_\_\_\_\_ will be solely entitled to receive the customer ID and the NetBanking facility and to acknowledge the same.
2. The customer ID and the IPIN (password) shall be kept totally secret and confidential by him.
3. All transactions carried on in the said account through use of the NetBanking facility shall be binding on the Company / Trust / Co-Operative society / Association of Person / Club and HDFC Bank shall at all times be kept saved and harmless from all actions, claims demands, proceedings, losses, dangers, costs, charges and expenses whatsoever which HDFC Bank may at any time incur, suffer or sustain or to be put to as a consequence of or by reason of or arising out of transactions carried out through the NetBanking facility.
4. HDFC Bank shall at all times be informed of any changes in the operating instructions for NetBanking facility by furnishing necessary documents and writing and in such event to change the Net Banking password forewith.
5. HDFC Bank shall not be responsible and liable to monitor the nature of expenses incurred by the use of the said NetBanking facility.
6. All the provision of the Foreign Exchange Management Act, 1999 and the Rules made thereunder and the regulations of the Reserve Bank of India relating to foreign exchange, in force from time to time shall be complied with by us.

We have read and understood the Terms and Conditions (a copy of which is in our possession) relating to NetBanking facility. We accept and agree to be bound by the said Terms and Conditions. We agree that the Bank may debit the said account for service charges as applicable from time to time.

SIGNATURE

Signed at \_\_\_\_\_ (Place)

By \_\_\_\_\_ (Authorised Signatory) of \_\_\_\_\_ (Name)

**FOR BANK USE ONLY**

Branch : \_\_\_\_\_

Signature verified by \_\_\_\_\_ Account No. verified by \_\_\_\_\_

Date NetBanking password generated \_\_\_\_\_

Note : Please attach resolution in the format given overleaf



## HUF DECLARATION FORMAT FOR HUF ONLY (If applicable)

Name of HUF (A)	<input style="width: 100%;" type="text"/>	As our HUF wishes to open an account with the HDFC Bank Limited / HDFC Securities Limited. in the name as mentioned in (A). We beg to say that the first signatory to this letter as mentioned in (B) is the KARTA of the Joint Family and other signatories are the adult Co-Parceners (C) of the said family. We further confirm that the business of the said joint family is carried on mainly by the said KARTA as also by the other signatories hereto in the interest and for the benefit of the entire body of Co-Parceners of the joint family. We all undertake that claims due to the bank from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the KARTA, including the share of the minor Co-Parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952. We have not got our said firm registered under the said act. We hereby undertake to inform the HDFC Bank Limited / HDFC Securities Limited of the death or birth of a Co-Parcener of any change occurring at any time in the membership of our joint family during the continuity of the account.
Name of KARTA (B)	<input style="width: 100%;" type="text"/>	
PAN of KARTA	<input style="width: 100%;" type="text"/>	
Contact No. of KARTA	<input style="width: 100%;" type="text"/>	
Email ID of KARTA	<input style="width: 100%;" type="text"/>	

**S17**  
 Signature of Client

Particulars of Coparcener (C)	Coparcener 1 (Mandatory)	Coparcener 2	Coparcener 3
Name	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Date of Birth	<input style="width: 100%; text-align: left;" type="text" value="D D M M Y Y Y Y"/>	<input style="width: 100%; text-align: left;" type="text" value="D D M M Y Y Y Y"/>	<input style="width: 100%; text-align: left;" type="text" value="D D M M Y Y Y Y"/>
Relationship	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Age	<input style="width: 10%; text-align: center;" type="text"/> Yrs.	<input style="width: 10%; text-align: center;" type="text"/> Yrs.	<input style="width: 10%; text-align: center;" type="text"/> Yrs.
PAN	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Address	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Tel. No.	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Mobile	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Email ID	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
UID	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Signatures	<input style="width: 100%; height: 40px;" type="text"/>	<input style="width: 100%; height: 40px;" type="text"/>	<input style="width: 100%; height: 40px;" type="text"/>

<b>Name &amp; dates of birth of Minor Co-parceners</b>	
1. _____	____/____/____
2. _____	____/____/____
3. _____	____/____/____
4. _____	____/____/____
5. _____	____/____/____

**Board Resolution**

Certified true copy of the resolution passed at the meeting of the board of directors / Board of trustees / Managing Committee of the company / trust

/ \_\_\_\_\_ held on \_\_\_\_\_ (day) \_\_\_\_\_ (date) at \_\_\_\_\_ (Place).

The Board took up for discussion a proposal for availing the facility of e-broking provided by HDFC Securities Ltd. & HDFC Bank Limited. The Chairman informed the Board that the Company already has a depository account with HDFC Bank and it would be in the interest of the Company to avail the aforesaid facility of e-broking. He further informed that upon registering with HDFC Bank and HDFC Securities Ltd. for e-broking, the Bank enable the Customer ID of a single authorised signatory of the Company through which the account of the Company can be accessed and operated. He continued stating that since this Customer ID gives an access and authority to operate the Company's Depository Account, it would be immensely important for the Company to restrict its use only to a single Authorised Signatory of the aforesaid depository account. He stressed that the Company needs to make adequate safeguard for avoiding the misuse of the said Customer ID and informed the Board that HDFC Bank Ltd. and HDFC Securities Ltd. shall not be held responsible in case of any misuse/misappropriation of the same. After discussion, the Board passed the following resolution unanimously:

**"RESOLVED THAT** the consent of the Board be and is hereby given for making an application for opening and availing the e-broking facility provided by HDFC Bank Limited and HDFC Securities Ltd. (hereinafter referred to as "the Bank").

**"RESOLVED FURTHER THAT** the following official of the Company, who is also an authorized signatory for the depository account maintained by the Company with the Bank be and is hereby authorized to use the Customer ID to be allotted by the Bank for the aforesaid e-broking facility:

Mr. \_\_\_\_\_ Customer ID \_\_\_\_\_

**"RESOLVED FURTHER THAT** the customer ID allotted by the Bank to the said authorised signatory of the Company and the password given for operating the e-broking account be kept secret and confidential and shall not be disclosed to anyone other than the authorized signatory and the Company shall be solely responsible for the safe custody and proper and/or bonafide use of the same."

**"RESOLVED FURTHER THAT** the consent of the Board be and is hereby given to all the terms and conditions contained in DP on net form (more particularly to clause 2.1 of the said terms and conditions.) and also the terms and conditions contained in the Power of Attorney and the client agreement which forms part of the application form."

**"RESOLVED FURTHER THAT** Mr. \_\_\_\_\_ and Mr. \_\_\_\_\_ be and are hereby severally/jointly authorised to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, Power of Attorney/s, returns and any other document as may be directed by the Bank and to affix the common seal, if required, in accordance with the Articles of Association of the Company and to do all such acts, deeds and things as may be necessary to give effect to this Resolution."

For \_\_\_\_\_ Limited

Company Secretary / Director(s)

Please put the Company stamp



## NetBanking Board Resolution

Certified true copy of the resolution passed at the meeting of the board of directors / Board of trustees / Managing Committee of the company / trust / \_\_\_\_\_

Co-Operative Society, Association of Persons / \_\_\_\_\_

Club held on \_\_\_\_\_ (day) \_\_\_\_\_ (date) at \_\_\_\_\_ (Place).

The Chairman explained the Board / Board of Trustees / Committee the benefits of availing Net Banking facility provided by HDFC Bank Limited in respect of the Current Account of the Company / Trust / Society / Association of Persons / Club bearing no. \_\_\_\_\_ with its branch at \_\_\_\_\_ The Board / Board of Trustees / Committee after discussion decided to apply for the Net Banking facility and passed the following Resolution.

**"RESOLVED THAT** the consent of the Board / Board of Trustees / Committee be and is hereby given for availing the Net Banking facility in respect of a Current Account No. \_\_\_\_\_ of the Company / Trust / Society / Association of Persons / Club maintained with HDFC Bank Limited at its \_\_\_\_\_ branch."

**"RESOLVED FURTHER THAT** Mr. \_\_\_\_\_

\_\_\_\_\_ (designation) be and is hereby authorised to apply to HDFC Bank Limited for and on behalf of the Company / Trust / Society / Association of Persons / Club and to operate the .aforesaid account through NetBanking."

**"RESOLVED FURTHER THAT** Mr. \_\_\_\_\_

\_\_\_\_\_ (designation) be and is hereby authorised to apply to HDFC Bank Limited for and to furnish a copy of the aforesaid resolution to HDFC Bank Limited and to do all such acts, deeds and things as may be necessary to give effect to this resolution.

## Letter/Authorization of the Partnership Firm (on letterhead)

It is hereby declared that the partnership firm is having a demat account with HDFC Bank Ltd. which is in the name of following partners,

Client Id \_\_\_\_\_ DP ID \_\_\_\_\_

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Further, we do not have any objection to link the said demat account with the trading account of the partnership firm. We also hereby agree to make an application for opening and availing the e-broking facility provided by HDFC Bank Limited (hereinafter referred to as "the Bank") and HDFC Securities Ltd.

It is also declared that the following official of the firm, who is also an authorized signatory for the depository account maintained by the firm with the Bank be and is hereby authorized to use the Customer ID to be allotted by the Bank for the aforesaid e-broking facility:

Mr. \_\_\_\_\_ Customer ID \_\_\_\_\_

**We declare that** Mr. \_\_\_\_\_

\_\_\_\_\_ and / or Mr. \_\_\_\_\_

be and are hereby severally/jointly authorised to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, Power of Attorney/s, returns and any other document as may be directed by HDFC Securities Ltd.

**For**

Signatures of Partners

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## Letter of the Trust (on letterhead)

It is hereby declared that the trust is having a demat account with HDFC Bank Ltd. The details are,

Client Id \_\_\_\_\_ DP ID \_\_\_\_\_

We also hereby agree to make an application for opening and availing the e-broking facility provided by HDFC Bank Limited and HDFC Securities Ltd. (hereinafter referred to as "the Bank").

It is also declared that the following official of the trust, who is also an authorized signatory for the depository account maintained by the firm with the Bank be and is hereby authorized to use the Customer ID to be allotted by the Bank for the aforesaid e-broking facility:

Mr \_\_\_\_\_ Customer ID \_\_\_\_\_

**We declare that** Mr. \_\_\_\_\_

\_\_\_\_\_ and / or Mr. \_\_\_\_\_ be and

are hereby severally/jointly authorised to sign all the necessary forms, deeds, applications, Indemnity Bonds, Affidavit, Power of Attorney/s, returns and any other document as may be directed by HDFC Securities Ltd.

**For**

**Letter of Indemnity**

This Letter of Indemnity executed by \_\_\_\_\_ a

company incorporated under the Companies Act, 1956 and having its Registered office at \_\_\_\_\_

\_\_\_\_\_ hereafter referred to as "the Company" (which expression shall unless it be repugnant to the context or meaning thereof mean and included its successors and assigns).

**IN FAVOR OF**

HDFC BANK LTD., a company incorporated under the provisions of the companies Act, 1956 and having its registered office at HDFC Bank House, C. S. No. 6/242, Senapati Bapat Marg, Lower Parel, Mumbai 400 013, hereinafter referred to as "the Bank" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors and assigns).

**WHEREAS:**

1. The Company is having a Depository Account with the Bank bearing No \_\_\_\_\_
2. The Company wishes to avail the facility of e-broking form the Bank on such terms and conditions as may be contained in the agreement proposed to be entered into between the Bank, HDFC Securities and the Company.
3. The Company understands that the Bank will be enabling a Customer ID of a single authorized signatory of the company for using the said e-broking facility provided by HDFC Securities Ltd.
4. The Board of Directors of the Company had decided to keep the said Customer ID and the password thereof secret and that the same shall be available only to the authorized signatory who can operate the aforesaid depository account.
5. The Bank has agree to grant the facility of e-broking to the Company subject to the representations and declarations of the Company to the Bank as to the utilization of the Customer ID to be allotted and the password thereof only by the authorized signatories and subject to our indemnifying the Bank as under;

**NOW** in consideration of the Bank having agreed to grant the facility of e-broking facility and enabling the customer ID of a single authorized signatory of the Company, we hereby declare that the said Customer ID shall be used only by the authorized signatories of the Company and it shall be the sole responsibility of the Company to ensure the same.

**AND** we further agree and undertake that the Bank shall not be responsible and keeps the Bank save, harmless and indemnified against any loss, damage, claims, demands, actions suits, proceedings, costs, charges and expenses that the Company may suffer or sustain due to the unauthorized use of the said Customer ID.

Dated at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20

For \_\_\_\_\_ Ltd.

Director(s)

Please put the companies stamp

For Online Broking Corporate A/c: PVT. LTD. / PUBLIC LTD.

- Corporate Trading A/c can be opened only after the Demat A/c has been opened (cannot be sent together).

DOCUMENTS

1. Certified True copy of Certificate of Incorporation with Registrar of Companies stamp. Name on PAN and Incorporation Certificate has to be identical.
2. Commencement Certificate is required only for a Limited Company.
3. Certified True copy of Memorandum (MOA) and Articles of Association (AOA) to be obtained. Enabling clause (permitting the company to invest/trade in shares and securities) in the MOA to be highlighted/ticked. If MOA/AOA is not original copy (unbound), then each page has to be attested by the authorized signatory.
4. Copies of Audited Balance Sheet & P/L for the last 2 financial years to be submitted (Copies of the Annual Balance sheet to be submitted every year). If company is newly formed then letter to be taken declaring the same and non-availability of Financials.
5. Photograph, POI, POA, PAN and DIN numbers of wholetime directors/2 directors in charge of day to day operations.
6. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
7. Attested (with authorized signatory stamp) copy of Pan Card and Address proof of all authorized signatories required.
8. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
9. In case the name of Director/s differs from the name given in MOA/AOA, then copy of Form 32 (with ROC Acknowledgment) or Form 20B (with ROC Acknowledgment) is required.
10. Minimum 1 director and maximum 12 directors can be authorized signatories to open a corporate account. Extra copies of application form - authorized persons details pages, authorised signatory - photo pages and POA schedule pages need to be attached.
11. Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
12. Authorised signatories list with specimen signatures. (on letterhead)
13. KYC details of individuals/entity holding 25% of shares or capital and KYC details of senior managing official

Resolutions

14. Board Resolution on letterhead (as per format provided). To be signed by the directors (director cannot authorize himself). Authorized signatory's Cust ID in Company's Current A/c is to be mentioned in the resolution. Board Resolution has to be dated.
15. Net Banking Board Resolution on letterhead as per format provided. To be signed by the directors.
16. Indemnity (on Rs 200/- stamp paper/franked) duly signed by Authorized signatories required as per format given. Please fill Company name, Registered office address, Demat A/c no, place and date. Date should be after franking/stamp date. Stamp paper to be purchased on company name.
17. Affix Company seal / Round stamp on all the above.
18. Company can nominate any one of the authorised signatory for providing financial rights through net banking.
19. Authorised signatory in ebrok board resolution and net banking resolutions should be one and the same.

For Online Broking Corporate A/c : PARTNERSHIP FIRM

Partnership firm has to be registered. Partnership Trading A/c can be opened only after the Demat A/c has opened (cannot be sent together).

Documents

1. Form 'A' (required to be submitted to Registrar for Registration of P/ship firm) with Acknowledgment is mandatory.
2. Registration Certificate is mandatory while applying for account opening
3. Certified True copy of Partnership deed required. Enabling clause (permitting the firm to invest/trade in shares and securities) in the Deed to be highlighted/ticked.
4. Photograph, POI, POA, PAN of Partners.
5. Audited Balance sheet & P/L of last 2 years required. Signed by authorised signatory on both pages (to be submitted every year)
6. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
7. If Letterhead is computer generated (printout), company round stamp is required on it.
8. Authorised signatories list with specimen signatures. (on letterhead) Resolutions
9. Net Banking Resolution on letterhead as per format provided. To be signed by the partners
10. Demat account letter signed by the partners.
11. Undertaking / authorization from partners to authorize any of the partners for operating the trading account with HDFC Securities Ltd.
12. KYC details of individuals/entity holding 15% of capital or profits and KYC details of senior managing official.

For Online Broking Corporate A/c : TRUST

Documents

Trust has to be REGISTERED (Mandatory).

1. Trust Deed and Registration Certificate is compulsory. Enabling clause (permitting the company to invest/trade in shares and securities) in the Deed to be highlighted/ticked.
2. Details for all trustees/authorised signatories as per the Trust Deed.

3. Resolution of Trustees for opening a Trading Account and approving participation in equity/derivatives/debt trading through HDFC Securities Ltd. and naming authorized person dealing in securities is required. Demat Account letter signed by trustees.
4. Photograph, POI, POA, PAN of Trustees
5. Audited Balance sheet & P/L of last 2 years required. To be signed by any one authorised signatory on both pages (to be submitted every year)
6. Copy of a cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR code or/and IFSC code of the bank should be submitted.
7. If Letterhead is computer generated (printout), trust round stamp is required on it.
8. Net Banking Resolution on letterhead as per format provided. To be signed by the trustees.
9. Undertaking / authorization from trustees to authorize any of the trustees for operating the trading account with HDFC Securities Ltd.
10. Indemnity (on Rs 200/- stamp paper/franked) duly signed by Authorized signatories required as per format given.
11. List of trustees certified by managing trustees / CA
12. KYC details of settler of trust, KYC details of protector, KYC details of individuals/entity holding 15% of interest in the trust.

#### **Unincorporated association / (AOP) or a body of individuals**

- Proof of Existence/Constitution document.
- Resolution of the managing body & Power of Attorney granted to transact business on its behalf.
- Authorized signatories list with specimen signatures.
- KYC details of individuals/entity holding 15% of capital or profits and KYC details of senior managing official.

#### **Banks/Institutional Investors**

- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
- Authorized signatories list with specimen signatures.

#### **Foreign Institutional Investors (FII)**

- Copy of SEBI registration certificate.
- Authorized signatories list with specimen signatures.

#### **Army/ Government Bodies**

- Self-certification on letterhead.
- Authorized signatories list with specimen signatures.

#### **Registered Society**

- Copy of Registration Certificate under Societies Registration Act.
- List of Managing Committee members.
- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
- True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

#### **For LLP**

- Copy of PAN card
- Copy of Address proof
- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Limited Liability partnership agreement and certificate of registration issued to the LLP client
- Authorised signatories list with specimen signatures.
- Photograph, POI, POA, PAN of Partners. Photographs of the partners should be affixed on the annexure page only.
- The DIN / Designated Partner Identification Number should be obtained
- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted
- Demat master or recent holding statement issued by DP bearing name of the client
- Form need to be initialized by all the authorized signatories
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures
- Netbanking resolution on letterhead as per format provided.
- Demat account letter signed by partners.
- Undertaking /authorization from partners to authorise any of the partners for operating the trading account with HDFC Securities Ltd.
- Net-worth along with the Gross Annual Income is mandatory for non-individuals as per SEBI guidelines

#### **For HUF**

- Copy of PAN card of HUF
- In case of HUF, Karta should sign with HUF stamp in relevant signature boxes and all the supporting documents.
- Deed of declaration of HUF/List of coparceners
- Photograph, POI, POA, PAN of Karta
- Bank passbook/statement in the name of HUF

### Important pre-requisites for the acceptance of the request of F&O privilege based on the supporting documents

List of acceptable documents	Condition if any
Copy of ITR Acknowledgement (for last financial year)	Should have a gross income of more than Rs. 1.2 lakh
Copy of Form 16 in case of salary income (for last financial year)	Should have a gross salary of more than Rs. 1.2 lakh
Net worth certificate (latest one or at the end of last financial year)	Should be dated and have a minimum value of Rs. 1.2 lakh
Salary Slip (for one month in current financial year)	Gross Salary should be more than Rs. 10,000
Bank account statement for last 6 months*	There should be balance atleast on a single day of more than equal to Rs. 10,000/-
Copy of demat account Holding statement. (not more than 3 months old) **	The statement should display the value of securities lying in the demat account. The total value should be more than Rs. 10,000/-
Life insurance policy	(any insurance co. with minimum cover of two lakh)
KVP,NSC,IVP & Bonds	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Bank FD's, Corporate FD's	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Mutual Fund Statement	Statement should not be more than 2 months old. The latest NAV and value should be more than Rs 10,000/-
Ownership of assest such as Gold	Value as mentioned on the bill should be Rs. 10,000/-
Letter from Society	The letter should state ownership of the flat. It should be on the letter head of the society
RC book of the vehicle	List of acceptable documents

\* Bank statement as downloaded from the net banking or xerox of physical statement be submitted

\*\* incase of demat account statement where only holdings are mentioned without valuation, then the same should be manually mentioned on the date on submission should be self attested by the client or the employee of Depository Participant (DP).

Checklist for Individuals / Minor / Applicant(s):	For the Applicants		For DP use	
Self attested copy of PAN submitted by ALL applicants.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In case the photo on PAN copy is not clear, another self attested ID proof	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Self attested copy of Address Proof of ALL the applicants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
KYC form is duly filled, signed and submitted by ALL applicants / authorised signatories	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Photograph affixed and signed across such that part of the signature is on the form	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of cancelled cheque leaf of the 1st applicant is provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of account mentioned	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complete address of the bank, i.e Name and Address in full with Pin code is provided.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MICR number duly filled-in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>FTR CHECKLIST</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Sign Missing ? Please Check That Customer has Signed the AOF in all the required Boxes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In Case of Scheme L - Check company code of Client (Finware) with company code in 'L' list	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy of Pan Card & Address proof is Clearly Readable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Original seen & verification stamp is affixed on pan card/Address proof & signed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SB A/c No written in the form is correct (14 digits) & belongs to the customer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
All Alterations/Corrections are Attested by the customer / authorised signatories	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>