



**DOCUMENTS REQUIRED FOR INDIVIDUAL ACCOUNT OPENING**

Compulsory Documents (self-attested)	(Please ✓ mark)
✓ Personalized Cheque Leaf or Cheque leaf along with Bank Statement or Bank Passbook	
✓ Photocopy of both side of PAN Card with photo	
✓ Aadhaar Card (Compulsory)	
<b>Verified Copy of any one of the following (self-attested) :-</b>	
✓ Passport and Driving License	
✓ Voter's Identity Card	
✓ Bank Statement (Not more than 3 months old)	
✓ Rent Agreement	
✓ Telephone Bill and 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 & Salary Slip	
✓ Net worth Certificate	
✓ 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	

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.	

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## Section A – Mandatory Documents Guidance Note

### Before you begin to trade

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 / www.bseindia.com / www.nseindia.com](http://www.sebi.gov.in/)
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 cheques 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 give 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.

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

### 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.

- 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 (or to 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.

### KYC ACKNOWLEDGEMENT LETTER

Dear All,

This is to confirm that I have received the copy of the duly completed mandatory and voluntary client registration documents while opening trading account with you.

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)

(1)   
Signature of the Client

**KNOW YOUR CLIENT APPLICATION FORM FOR INDIVIDUAL (Demat & Trading)**
**For office use only**  
 (To be filled by financial institution)

Date \_\_\_\_\_ DP Internal Ref. No. \_\_\_\_\_

SOL ID: \_\_\_\_\_

 Application Type\* **New**  Update  Login ID \_\_\_\_\_

KYC Number \_\_\_\_\_ (Mandatory for KYC update request)

 Account Type\*  Normal  Simplified (for low risk customers)  Small

 Depository Service (Select any one):  CDSL  NSDL

 CDSL Client ID 13018700- NSDL Client ID IN300870-

Sign  
over  
photo

M. J. J.

ufer

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

 Name\* (Same as ID proof) MS Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

\*In case of Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.)

 Maiden Name (if any\*) \_\_\_\_\_ PAN Card\* H \_\_\_\_\_ N

 Father / Spouse Name\* M \_\_\_\_\_

 Mother Name\* L \_\_\_\_\_

Date of Birth\* \_\_\_\_\_ UID (Aadhaar)\* \_\_\_\_\_

 Gender\*  M - Male  F - Female  T - Transgender

 Marital Status\*  Married  Unmarried  Others

 Citizenship\*  IN-Indian  Others (ISO 3166 Country Code   )

 Individual Status\*  Resident  Director  Director's Relative  Promoter  Margin Trading A/C (MANTRA)  
 Minor  HUF/AOP  Other \_\_\_\_\_

 NRI  Repatriable  Non-Repatriable  Repatriable Promoter  Non-Repatriable Promoter  
 Depository Receipts  Other \_\_\_\_\_

 Foreign National  Foreign National  Foreign National - Depository Receipts  Other \_\_\_\_\_

 Qualification\*  Graduate  Post Graduate  Prof. Degree  Other \_\_\_\_\_

 Occupation Type\*  S-Service ( Private Sector  Public Sector  Government Sector)  B-Business  
 O-Others ( Professional  Self Employed  Retired  Housewife  
 Student  Agriculture)  Others (Brief Details) \_\_\_\_\_

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs	
Income Range (Rs. Per Annum) Please ✓ mark	Less than 1 Lacs	1-05 Lacs	05-10 Lacs	10-25 lacs	> 25 Lacs
Networth (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) \_\_\_\_\_ 3

Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_

Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_

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

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

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

**4. PROOF OF IDENTITY (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\*  
 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\* \_\_\_\_\_ B.D.I  
 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 \_\_\_\_\_

**Detail of Related Person**

Guardian of Minor  
 Assignee  
 Authorised Representative

Name\* (Same as ID proof\*) \_\_\_\_\_  
 Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Name \_\_\_\_\_ Last Name \_\_\_\_\_

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

Remark \_\_\_\_\_

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

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

(2) \_\_\_\_\_  
 Signature / Thumb Impression of Applicant



Section A

**6. JOINT HOLDERS - SECOND 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\* \_\_\_\_\_ PAN Card\* \_\_\_\_\_ UID (Aadhaar)\* \_\_\_\_\_  
 Gender\*  M- Male  F - Female  T - Transgender  
 Marital Status\*  Married  Unmarried  Others  
 Citizenship\*  IN- Indian  Others (ISO 3166 Country Code   )  
 Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin  
 Qualification\*  Graduate  Post Graduate  Prof. Degree  Other  
 Occupation Type\*  Private Sector  Public Sector  Government Sector  
 Professional  Self Employed  Retired  Housewife  Student  B-Business  Others

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs	
Income Range (Rs. Per Annum) Please ✓ mark)	Less than 1 Lacs	1-05 Lacs	05-10 Lacs	10-25 lacs	> 25 Lacs
Networth					

**7. 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\*  M- Male  F - Female  T - Transgender  
 Marital Status\*  Married  Unmarried  Others  
 Citizenship\*  IN- Indian  Others (ISO 3166 Country Code   )  
 Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin  
 Qualification\*  Graduate  Post Graduate  Prof. Degree  Other  
 Occupation Type\*  Private Sector  Public Sector  Government Sector  
 Professional  Self Employed  Retired  Housewife  Student  B-Business  Others

Market Value Portfolio (Please ✓ mark)	Less than 5 Lacs	5-10 Lacs	10-50 Lacs	> 50 lacs	
Income Range (Rs. Per Annum) Please ✓ mark)	Less than 1 Lacs	1-05 Lacs	05-10 Lacs	10-25 lacs	> 25 Lacs
Networth					

**Section A**

I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
I/We would like to share the email ID with the RTA	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
I/We would like to receive the Annual Report & Statement of Account	<input type="checkbox"/> Physical / <input checked="" type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical & Electronic
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly
Account to be operated to POA	Yes <input checked="" type="checkbox"/> 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 checked="" 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 checked="" type="checkbox"/> No <input type="checkbox"/>

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

Bank Code (9 digit MICR Code)					
IFS Code (11 digit code)					
Bank Address					Village
City	State	Country	PIN	4	0 3
Account Number					
Account type	<input checked="" type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> Cash Credit	<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

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

**10. DETAILS OF GUARDIAN (In case the account holder is minor)**

Guardian's Name	PAN
Relationship with the applicant	

**9. CLIENT TRADING, BANK & DEMAT ACCOUNT ACKNOWLEDGEMENT**

Bank Name : Bank of Baroda	Account Type : (Please ✓ mark)	SB	CA	P/S
BOB Employee Code : .....	Name of Branch .....	SOL ID .....		
Customer ID	A [REDACTED] 1			
Saving / Current Account No.	[REDACTED]			
MICR Code	[REDACTED]			
IFSC Code	[REDACTED]			
1st A/c Holder Name	[REDACTED] 1			
2nd A/c. Holder Name	[REDACTED]			

I certified that the First Account Holder's Name and Applicant of Trading Account are the same.

For Bank of Baroda

Name of Officer : [REDACTED]

Not Linked to FDR etc. (FFD A/c should not be linked to Trading Account)

BOB Branch Rubber Stamp

**Demat Account (Trading)**

Depository Participant : Bank of Baroda	Depository Name : CDSL	/ NSDL IN		
1. Beneficiary ID*				
2. Beneficiary ID*				
First Account Holders Name				
Second Account Holders Name				

\*Client ID

This is certified that the First Applicant in this form should be the First Holder in Demat Account.

For Bank of Baroda (Demat Dept.)

Authorised Signatory [REDACTED]

Copy of Demat Client Master / Demat Holding Statement enclosed

BOB Branch Rubber Stamp

**Exchange & Segment Selection - Sign for Exchange & Segment, strike off whichever not selected (Trading)**

Exchange / Segment	Equities	Derivatives
The National Stock Exchange of India Limited	☑ (3) [REDACTED] ✓	☑ (4) [REDACTED] ✓
BSE Limited	☑ (5) [REDACTED] ✓	<del>☑ (6) [REDACTED] ✓</del>

If, in future, the client wants to trade on any new segment/new exchange, separate authorization letter should be taken by the stock broker.

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

Stock Exchanges on which you wish to trade (if the member is registered for such exchanges)	1. NSE
Please ✓ mark)	2. BSE
Category	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 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
Canara Bank	2426201100079	NSE	Client Account
Bank of Baroda	03810200001002	BSE	Client Account

**Schedule II**
**BOB Capital Markets Demat Account Details:-**

Name of the DP	NSDLICDSL	DP ID	Client ID	Account Description
Bank of Baroda	CDSL	13018700	1301870000267585	BSE CM Pool Account
Bank of Baroda	CDSL	13018700	1301870000267606	NSE Pool Account
Bank of Baroda	CDSL	13018700	1301870000267566	Client Margin Account
Bank of Baroda	NSDL	IN300870	10185030	NSE Pool Account
Bank of Baroda	NSDL	IN300870	10185023	BSE Pool Account

**Schedule III**

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

 Name of the DP- **Bank of Baroda**

NSDL/CDSL

 Bank Name: **Bank of Baroda**




Bank Account No. : \_\_\_\_\_

 DP ID **13018700 / IN 300870**

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 fees/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 BODs 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"/> Me 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 - Guidance Note - Do's and Don'ts, Rights & Obligations of Stock Broker and Client including Internet and Wireless Technology based Trading, Risk Disclosure Document, Terms and Conditions for Call-n-Trade.			
Please select the choice for receiving the following documents			
Date: _____	Hard Copy <input type="checkbox"/>	Soft Copy <input type="checkbox"/>	
Place: _____			
Sole/First Holder		Second Holder	Third Holder
Name			
PAN			
			
Signature / Thumb Impression of Applicant	Signature / Thumb Impression of Applicant	Signature / Thumb Impression of Applicant	
In-person verification by Branch DP of Bank of Baroda			
Name & Designation Signature under stamp of Bank of Baroda with EC Number			
Date: _____	Place: _____		



**FATCA-CRS for Individual Accounts - including Sole Proprietor –  
 To be obtained with Account Opening Form for Individuals (Demat & Trading)  
 Separate declaration to be obtained for all joint holder in Demat Account.**

**Details under FATCA and CRS:**

1. Tax residence declaration - tick any one as applicable to you; (if b, is applicable then pl 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 : G [REDACTED]

Prefix MS First Name N [REDACTED] Middle Name [REDACTED] Last Name [REDACTED]

Name\* [REDACTED]

Maiden Name (If any\*) [REDACTED]

Father / Spouse Name\* [REDACTED]

Mother Name\* [REDACTED]

City of Birth [REDACTED] Country of Birth INDIA

Date of Birth\* 01/01/76 PAN Card\* HC [REDACTED] Aadhaar\* 3ND [REDACTED] 2 [REDACTED] 33

Gender\*  M- Male  F - Female  T - Transgender

Nationality [REDACTED] Identification Number [REDACTED]

Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin

Residential Address [REDACTED]

Occupation Type\*  Private Sector  Public Sector  Government Sector  Professional  Self Employed  Retired  Housewife  Student  B-Business  X-Not Categorised 1001A

**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: N [REDACTED]

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

 (7) [REDACTED]

 Signature [REDACTED]  
 Place: MUMBAI
**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 'FATCA' are contained in the US Hire Act 2010.

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 entities. 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)**

 BO Account Details:                     

 Trading Code:                     

I/We the Sole holder/Joint holders/Guardian (in case of minor) hereby declare that:

 I/We do not wish to nominate any one for this Demat & Trading Account OR

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

**NOMINEE-1 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**NOMINEE-2 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**NOMINEE-3 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**IDENTIFICATION DETAILS OF NOMINEE**

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

**GUARDIAN DETAILS (if nominee is a minor)**

As the Nominee is a minor as on date, I/We appoint following person to act guardian and to receive the securities in this account on behalf of the Nominee in the event of death of the Soleholder / all Joint holders.

**GUARDIAN-1 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**GUARDIAN-2 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**GUARDIAN-3 DETAILS**

 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_  
 Pin: \_\_\_\_\_ Country: \_\_\_\_\_  
 Fax: \_\_\_\_\_ Tel.: \_\_\_\_\_  
 Mobile: \_\_\_\_\_  
 E-mail ID: \_\_\_\_\_  
 Relationship with Nominee (if any): \_\_\_\_\_  
 DOB of Nominee: \_\_\_\_\_

**IDENTIFICATION DETAILS OF GUARDIAN**

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

 PAN: \_\_\_\_\_  
 Aadhar / UID: \_\_\_\_\_

Signature of Guardian: \_\_\_\_\_

Signature of Guardian: \_\_\_\_\_

Signature of Guardian: \_\_\_\_\_

Percentage of allocation of securities:

**Nominee - 1**  
 %

**Nominee - 2**  
 %

**Nominee - 3**  
 %

\*Residual Securities (Please tick if any):




This nomination is subject to any prior nomination made by me/us and also any testamentary document executed by me / us.

 (8) \_\_\_\_\_

 \_\_\_\_\_

 \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_



Section A

**DETAILS OF WITNESS**

Signature of First Witness

Name

Address

Signature of Second Witness

Name

Address

**(To be filled by DP)**

Nomination accepted and registered vide Registration No.

For Bank of Baroda

Dated \_\_\_\_\_

Authorised Signatory

\*Residual Securities: In case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

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

Sr. No.	Types of charges (Demat Charges)	Revised charges w.e.f. 1st July 2017
1	Advance /Deposit	NIL
2	Annual Maintenance Charges (AMC)	General customer: For individuals - First year free (for new accounts) Second year onwards Rs. 250/- p.a. plus GST (as applicable) For Non-Individual – Rs. 550/- Plus GST (as applicable) BSDA customers: For individual First Year free (for new accounts) From second year onwards, no AMC to be levied if the value of holding is up to Rs.50,000/- during financial year AMC will be charges at Rs. 100/- Plus GST (as applicable) only for the value of holding from Rs. 50,001/- up to Rs. 2,00,000/- during financial year.
3	Demat	Rs.3,00/- per certificate with minimum Rs. 34/-plus + GST+actual postage
4	Remat	NSDL Demat account: Rs. 10/-plus actual postage for every hundred securities or part here of subject to maximum fee of Rs. 5,00,000/- or a flat fee of Rs. 10/- per certificate whichever is higher CDSL Demat account : Rs. 30/- Plus GST (as applicable) + actual postage per cer
5	Transaction charges	General customers: 0.03% of market value subject to minimum Rs. 20/- Plus GST (as applicable) per transaction For Debt instruments and commercial papers 0.03% of market value subject to minimum Rs. 20/- Plus GST (as applicable) per transaction. BCML customers : Transaction charges at Rs. 15/- Plus GST (as applicable) per debit instruction
6	KYC Registering Agency Charges (KRA Charges)	KRA charges @ Rs. 40/- Plus GST (as applicable) plus actual postage for new KYC data to be upload -ed KRA charges @ Rs. 40/- Plus GST (as applicable) per download will be applied For modification in KRA of the existing charts KRA charges @ Rs. 30/- Plus GST (as applicable) plus actual postage charges
7	Pledge Creation & confirmation	Rs. 100/- Plus GST (as applicable) per ISIN per request
8	Pledge closure & confirmation	Free
9	Pledge invocation	Rs. 100/- Plus GST (as applicable) per ISIN per request
10	Failed instruction charges	NIL
11	Other charges	Additional A/c statement Rs. 20/- Plus GST (as applicable) per Request Sign verification or any other certificate & freeze/unfreeze Rs. 50/- Plus GST (as applicable) per request One DIS booklet of 10 leaves free of cost at the time of a/c opening and thereafter subsequent DIS will be issued. @Rs. 20/- Plus GST (as applicable) per booklet of 10 leaves for General customer. In Two DIS slips only will be issued at the time of account opening to BSDA customer Changes of address/ECS Rs. 30/- Plus GST (as applicable) per request
12	Overdue charges	Interest @18% 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	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 & March of the financial year. The services not listed above will be charged separately All the above charges are applicable uniformly to individuals. Non-individual except that AMC are different for individuals & the charges are subject to revision from time to time at Bank's discretion

(Trading Charges) Trading Account Opening & Annual Maintenance Charges FREE Franking of Power of Attorney Rs. 500/- applicable are.	Cash		Derivatives Future		Derivatives Options	
	% Brokerage Delivery	Intra-Day Both sided	% Brokerage	Intra-Day Both sided	Flat Brokerage per Lot in Rs.	Intra-Day Per Lot in Rs.
Segment	0.40%	0.10%	0.08%	0.04%	Rs.50	Rs.100
Minimum Brokerage	Rs.0.05 paise	Rs.0.05 paise	Rs.0.01 paise	Rs.0.01 paise		
Securities Transaction Tax(STT)					0.017%	
Securities Transaction Tax(STT)	0.10%	0.025%	0.010%		0.125%	
SEBI Turnover Charges	0.00015%	0.00015%	0.00015%		0.00015%	
Transaction charges			0.0019%		0.05%	
NSE	0.00325%	0.00325%				
BSE	0.00275%	0.00275%				
Stamp Duty (Applicable For Maharashtra state)	0.010%	0.002%	0.002%	0.002%	0.002%	0.002%

Client's Signature \_\_\_\_\_ (15)

Signature \_\_\_\_\_

Signature \_\_\_\_\_

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. SGGST 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

**LIMITED PURPOSE POWER OF ATTORNEY**
**TO ALL TO WHOM THESE PRESENTS SHALL COME, I WE**

[1] Mr. /Ms **N [Redacted]** S/o, D/o, W/o **[Redacted]** Aged **2**  
 Residing /Working at **Rt [Redacted]** 101)

[2] Mr. /Ms S/o, D/o, W/o Aged  
 Residing /Working at

[3] Mr. /Ms S/o, D/o, W/o Aged  
 Residing / Working at

**WHEREAS**

I/We am/are the sole, joint and beneficial holder of the savings/current/other funds account(s) with Bank of Baroda, the details whereof are set out in schedule 1 hereto (hereinafter referred to as 'Bank Account') and /or Depository Account in individual/joint/Karta/Trust/Company name/s for the Online Trading facility offered by M/s BOB Capital Markets Ltd. (BCML), the details whereof are set out in schedule 2 hereto (hereinafter referred to as 'Demat Account')

I/We, am/are desirous of opening a Trading Account with **BOB Capital Markets limited (BCML)**, a Company incorporated under the Companies Act, 1956 having Regd. Office at **1704, B Wing, 17<sup>th</sup> floor, Parinee Crescenzo, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051** and wish to become a client of, and participate on my/ our behalf, in various services offered by BCML and thereby, desirous of investing/trading in those securities/contracts/other instruments / derivatives admitted to dealing on the Stock Exchange as defined in the Rules, Byelaws and Regulations of the Stock Exchange and circulars issued there under from time to time.

I/We have gone through the above documents and understood the terms, conditions, Rights and Obligations contained therein and are also satisfied of the capacity of BCML to deal in securities and/or deal in derivatives contracts. To facilitate blocking / transfer of funds and securities regularly from my/our/BCML's Bank / Demat account to my/our/ BCML's Bank / Demat account for the Online Trading facility, this limited purpose Power of Attorney is being executed by me/us. **Accordingly, I / We, am/desirous of appointing BOB Capital Markets limited to be my / our true and lawful attorney for performing the services offered to me/us by them and confer upon BCML all the rights and powers hereinafter stated.**

**NOW KNOW YOU ALL AND THESE PRESENTS WITNESSETH** that I/we, the above named, do hereby nominate, constitute and appoint M/s BOB Capital Markets Ltd. as my/our true and lawful attorney to do, execute and perform or cause to be done, executed or performed all or any of the following acts, deeds and things for my/our behalf namely:

- 1) To have and exercise the powers and /or authority and to do and / or execute the acts, deeds, matters and things specified in the Rights and Obligations document attached in the account opening kit.
- 2) Pursuant to our instructions, to acquire by subscribing to or by purchase of securities and to sell, transfer and endorse the securities (including but not limited to Initial Public Offerings, Buy Back Offers, Right Issue, Bonus Issues, Split etc.) or any other "Investment Products" offered for sale or redeem the same either through internet issued by any Mutual Fund from time to time or otherwise.

- 3) To give/extended any instructions to my/our Banker to credit the said Bank/Demat Account with monies/securities due to me/us or to debit my/our said Bank Account or Demat Account towards Monies/fees/charges/securities etc. due to BCML or to Depository Participant and to discharge all obligations in that regard on my/our behalf to BCML and/or above said Bank/Depository Participant.
- 4) To operate bank account and to view transactions entered and monies available in, block and/or debit/credit or create lien on any monies and/or give instructions to my/our Bank on my/our behalf in respect of my/our Bank Account or any other Bank Account as per my/our instructions to furnished in any manner acceptable to BCML, in order to effectually complete and give effect to every and any trade, deal and transaction made or ordered by me/us, and to meet all my/our obligation in terms of the Rights and Obligations mentioned by BCML as prescribed by SEBI and Stock exchanges for transactions done on the National Stock Exchange (NSE) and/or Bombay Stock Exchange (BSE), or any other Exchange/s on my/our instructions and to give other instructions relating to the said Bank Account, for any matter concerning the above mentioned purpose, including charges for availing various services and facilities from BCML.
- 5) To operate Demat account, to view transactions entered and securities available in, block securities (in part or in full) in, transfer securities (in part or in full) from, deposit securities into, create pledge on any securities and/or give instructions to the depository participants in respect of the Demat Account on my/our behalf in order to effectually complete and give effect to every and any trade, deal and transaction made or ordered by me/us, and to meet the obligations between myself/ourselves and BCML under the Rights & Obligations mentioned by BCML.
- 6) To make, sign and submit applications for such investment products including but not limited to IPO's, subscription /redemption of mutual fund units etc. as may be instructed to be applied for by me/us including but not limited to pledging of scrips stocks, securities, bonds, debentures, mutual fund units, shares received in IPO's, units of any collective investment scheme or any other security or financial instrument on behalf of me/us to BCML herein under.
- 7) To generally do perform all acts deeds and things as may be necessary for or incidental to provision of aforementioned services and facilities to me/us including giving intimations, confirmation, undertaking etc. on my/our behalf to effectually complete any and all terms of the Rights & Obligations mentioned by BCML.
- 8) To transfer my/our securities for my/our margin /delivery obligations arising out of trades executed by me/us.
- 9) To pledge / transfer my/our securities with BCML for meeting margin requirements in connection with the trades executed by me/us.
- 10) To transfer funds from my/our Bank Account for meeting settlement obligations/margin requirements in connection with the trades executed by me/us and/or for recovering any outstanding amount due from me/us arising out of my/our trading activities and/or for meeting obligations arising out of me/us subscribing to such other products/ facilities/services through BCML like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
- 11) To transfer funds from my/our Bank Account towards monies/fees/charges etc. due to BCML payable by virtue of me/us using/subscribing to any of the facilities/services availed by me/us on my/our instance.
- 12) To bind myself/ourselves with respect to any instruction given by one or more (in case of non-individuals trading A/c operated by any of the Directors or its Authorised persons) of us to BCML.
- 13) To have the first and paramount lien on the said Bank/Demat Account and to exercise such lien in the event of such loss suffered on account of any transaction done/executed by Stock broker on my/our instructions.
- 14) To return to me/us the securities/fund that may have been received erroneously or those securities or fund which BCML was not entitled to receive.
- 15) To fulfil my/our unsettled obligations/payments for transactions executed on my/our behalf or any other obligation(s) during the validity of this Power of Attorney. I/we further agree and understand that BCML will not be held liable for losses, if any, for all acts, deeds, actions undertaken to fulfil my/our obligations/payments for transactions executed on my behalf.
- 16) To do or omit to do all such acts and things as BCML may in its discretion consider being necessary or desirable in order to exercise, its powers hereunder or to comply with any laws, regulations or directions of any government or regulatory authorities.
- 17) To operate and to give delivery/receipt instructions, borrowing and lending instructions, pledge creation instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of existing depository account as per schedule II with Bank of Baroda Depository Participant with National Securities Depository Limited/Central depository Services (India) Limited or towards the obligation(s) for transactions done on NSE, BSE and any other Exchange in India.


- 18) To send me/ us consolidated scrip-wise position summary with average rates/detailed trades on daily basis by the way of SMS/Email on my mobile or on my email id (details of which has already been provided to BCML or as updated by me from time to time).
- 19) To register this Power of Attorney with the said Bank and the Depository Participant or with any other party concerned.
- 20) To do all such acts, deeds and things as may be necessary for or incidental to provision of services and facilities to me/us, including giving of intimation, confirmation, undertaking etc. on my/our behalf.
- 21) To retain all original documents executed by me/us.
- 22) In the event of any instructions being provided to the Bank which would in any manner prejudice any monies blocked by the Bank, the Bank shall at all its option, be entitled to transfer of its own accord the said blocked monies to BCML ("Forced Transfer"). The Bank shall not in any manner responsible or liable for the consequences of such Forced Transfer including where such Forced Transfer results in a dishonour of cheque by the Bank or where despite such transfer, the corresponding securities are not delivered to the client by the Securities Trader.
- 23) Further, the powers given under this limited purpose Power of Attorney shall having overriding effect over the mandate and / or operation conditions given by me / us in the said Bank / Demat Account. And I / We shall not change the style of the designated Bank Account by adding / deleting name/s to/from the said Bank Account in any event or do any act affecting the power delegated through this Power of Attorney to BCML.
- 24) That I / we can revoke this limited purpose Power of Attorney by giving a revocation letter (without notice) in writing to you at any time to your head office at 1704, B Wing, 17th Floor, Parinee Crescenzo, G Block, Bandra Kurla Complex, Bandra (East), Mumbai - 400051 and the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his above mentioned office address. I/We understand that such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carrying out prior to receiving request for revocation of Power of Attorney.
- 25) I/We hereby agree to ratify all lawful acts and things done by the said attorney pursuant to the powers hereinbefore contained and I/We shall be bound by all acts done by the Stock broker in furtherance to the Power of Attorney and indemnify and keep indemnified BCML for all and whatever BCML and / or any of its employees, directors or agents shall lawfully do or cause to be done by virtue of these presents.

IN WITNESSETH WHEREOF I/we, the said N. [REDACTED] have hereunto put

my / or hand this \_\_\_\_\_ Day of \_\_\_\_\_ 20\_\_.

1. Name N. [REDACTED] Client Signature  (18) [REDACTED]
2. Name \_\_\_\_\_ Client Signature 
3. Name \_\_\_\_\_ Client Signature 

In the presence of: Witnesses:

1. Name & Address [REDACTED] Signature 

1. Name & Address [REDACTED] Signature 

Accepted for and behalf of BOB Capital Markets Ltd.

Authorised Signatory 

**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 debts.

I / We shall not indulge in any sub-broking activities nor issue bills/contracts/confirmation notes to any one 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 authorisation shall be signed by me/us only and not by any power of attorney holder or any authorised person.

I/We confirm that these 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.

These standing instructions are valid from the date the account is opened and will be valid until revoked.

Client's Signature:  (19)Client Name: 

Unique Client Code: \_\_\_\_\_

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

Dear Sir,

**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](http://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 severable to all parties mentioned above.

Yours faithfully,

Client's Signature  (20)

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 BarodaEtrade 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  
(21) \_\_\_\_\_

**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 \_\_\_\_\_

**Documents verified with Originals / Client Interviewed By / In-Person Verification (Trading) Filled by BCML Employee**

UCC Code allotted to the Client:

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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 CBODPO,  
BST, BKC, Mumbai – 400051.

Dear Sir/Madam,

**Sub: Letter to link Bank of Baroda Savings Bank A/c & Demat Account with Online Trading Account**

I N [redacted] H  
residing at R [redacted] enclose  
the **Power of Attorney** executed on [redacted] 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  
I/We hereby request you to link my BOB Savings Bank A/c & BOB Demat A/c with my Online trading A/c maintained with  
BOBCAPS, the details of which are as follows: -

Name of the DP – **Bank of Baroda**

**NSDL / CDSL**

DP ID **13108700 / IN 300870**

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: [redacted]

1 Mr./ Ms /M/s First Holder N [redacted] H

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

3. Mr./ Ms /M/s Joint 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 [redacted] (22) ..... 2 ..... 3 .....

**Signatures of the Demat Account Holder/s**

Place: .....

Date: .....

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

### General Clause

- 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 Government Authorizations as may be in force from time to time.
- The DP shall operate/create 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

- 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 and regulatory authority in this regard.
- 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 later with the DP from time to time.

### Fees/Charges/Tariff

- 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.
- 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/directors/instructions issued from time to time.
- 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

- 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

- The DP shall open separate account 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 DP own securities held in dematerialized form.
- 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

- 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 subtil of such authorizations.
- The Beneficial Owner reserves the right to give standing instructions with regards to the crediting of securities in his demat account and the DP shall act according to such instructions.

### Statement of account

- The DP shall provide statements of account 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.
- However, if there is no transaction in the demat account, or if the balance has come nil during the year, the DP shall send one physical statement of holding annually to such Ben and shall resume sending the transaction statements as and when there is a transaction in the account.
- 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, 2008. 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.
- In case of Basic Services Demat Accounts, the DP shall send the transaction statement as mandated by SEBI and/or Depository from time to time.

### Manner of Closure of Demat account

- 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 filed with the DP provided no charges are payable by him/her to the DP or to temporarily freeze the security balances held.
- Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or retransfer of 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

- 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.
- 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

- As per Section 16 of Depositories Act, 1996,
  - 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.
  - 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

- 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.
- The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owner on receipt of instructions received from a regulator or court or any statutory authority.

### Redressal of investor grievance

- The DP shall redress all grievance of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

### Authorized representative

- 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

- 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.
- The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/notes issued by SEBI and Rules, Regulations and Bye-Laws of the relevant Depository which the Beneficial Owner maintains his/her account, that may be in force from time to time.
- 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.
- 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.
- 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.
- If the rights and obligations of the parties hereto are affected 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.



Sole First Holder



Second Holder



Third Holder

**THIRD PARTY PRODUCTS TERMS & 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 there from. 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/interests/ 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.barodaetradem.com](http://www.barodaetradem.com)

(24)

Signature

Sole First Holder

Second Holder

Third Holder

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 :	www.bobcaps.in www.barodaetrade.com
Correspondence office address :	1704, B Wing, 17th Floor, Parinee Crescenzo, G Block, Bandra Kurla Complex, Bandra (E), Mumbai – 400051. Phone: 9122 – 6138 9300 Fax: 9122- 6671 8535
Website :	www.bobcaps.in  www.barodaetrade.com
Compliance officer name, phone no. & email id :	Mr.Pushkar Vartak / 022 -6138 9300 / compliance@bobcaps.in
CEO name, phone no. & email id :	Mr.Ratnesh Kumar MD& CEO / 022 – 6138 9300 / md.ceo@bobcaps.in
For any grievance/dispute please contact stock broker (name) at the above address or email id : 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 - ignse@nse.co.in Tel No. - (022) 26598190 / 1800 2200 58	BSE Investors Services : Email ID - is@bseindia.com Investor Services Telephone No. : (022) 2272 8097
NSDL Investors Services : Email ID - relations@nsdl.co.in	CDSL Investors Services : Email ID - complaints@cdslindia.com Tel No. - Toll Free No. 1800-200-5533

**Registered Office Address – Demat**

**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 : contactus@bobcaps.in

Website : www.bobcaps.in / www.barodaetrade.com

Research Analyst SEBI Registration No. INH000000040, valid till 03rd February 2020

SEBI Registration No. and Date : INZ000159332