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CDSL
Your Depository

R. R. Nabar & Co. Share Brokers (P) Ltd.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

Regd. Office: Examiner Press Building, 31, Dalal Street, Fort, Mumbai - 400 001.

Tel.: 2267 4212 • Fax: 2267 1370 • E-mail: rrnabar@rrnabar.com

**ACCOUNT OPENING
FORM FOR INDIVIDUAL**

Account No.	:	<u>12049700 - 000</u>
Name (1)	:	<u></u>
Name (2)	:	<u></u>
Name (3)	:	<u></u>
UCC No.	:	<u></u>
CKYC No. (1)	:	<u></u>
CKYC No. (2)	:	<u></u>
CKYC No. (3)	:	<u></u>

INSTRUCTIONS FOR THE APPLICANTS FOR ACCOUNT OPENING

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable". BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.

Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & update of the same in CDSL system. In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.

In case of death of Guardian of existing Minor account holder:

In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

- i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
- ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
- iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
- iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
- v. A fresh DP-BO agreement shall be executed between the DP and the new guardian.
- vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
- vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
- viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
- ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects and enter into a fresh agreement with the DP duly signed by the account holder and DP. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.

The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

- a) The PAN details of the HUF entity would have to be entered in the CDSL system.
- b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
- c) DPs shall note the following while opening a HUF account:
 - HUF accounts cannot be opened with joint holder(s). • HUF accounts cannot appoint a nominee. • In the account opening form, the Karta shall sign under the HUF stamp. • Account can be opened in the name of - Existing Karta / HUF entity • The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF). • In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:

• HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta. • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue. Procedure to be followed in case of partition of HUF:

In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.

Procedure to be followed in case of POA being given for the HUF

The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

- a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws. Change of status from NRI to Resident and vice versa:

It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

- a) Documents - same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) Association of Persons (AOP)

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

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Additional KYC Form for Opening a Demat Account

(To be filled by the Depository Participant)

Application No.											Date								
DP Internal Reference No																			
DP ID	1	2	0	4	9	7	0	0	Client ID	0	0	0							

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

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

Holders Details

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

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

Type of Account		(Please tick whichever is applicable)			
Status	Sub - Status				
☐ Individual	☐ Individual Resident	☐ Individual-Director	☐ Individual Director's Relative		
	☐ Individual HUF / AOP	☐ Individual Promoter	☐ Individual Margin Trading A/C (MANTRA)		
	☐ Minor	☐ Others (specify)			
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI-Repatriable Promoter		
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	☐ Others (specify)		
☐ Foreign National	☐ Foreign - National	☐ Foreign National - Depository Receipts	☐ Others (specify)		

Details of Guardian		(in case the account holder is minor)									
Guardian's Name											
Guardian's Address											
Relationship with the applicant											

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	☐ Yes ☐ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No

Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No

I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
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Bank Details (Dividend Bank Details)

MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	☐ Saving ☐ Current ☐ Cash Credit ☐ Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City	State	Country			PIN				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

FIRST HOLDER:- OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

☐ Upto Rs. 1,00,000/- ☐ Rs. 1,00,001/- to Rs. 5,00,000/- ☐ Rs. 5,00,001/- to Rs. 10,00,000/-

☐ Rs. 10,00,001/- to Rs. 25,00,000/-

☐ Above Rs. 25,00,001/-

Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student
☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Others (Specify)

3. Please tick, if applicable

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

4. Any other information

SECOND HOLDER:- OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

☐ Upto Rs. 1,00,000/- ☐ Rs. 1,00,001/- to Rs. 5,00,000/- ☐ Rs. 5,00,001/- to Rs. 10,00,000/-

☐ Rs. 10,00,001/- to Rs. 25,00,000/-

☐ Above Rs. 25,00,001/-

Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student
☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Others (Specify)

3. Please tick, if applicable

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

4. Any other information

THRID HOLDER:- OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

☐ Upto Rs. 1,00,000/- ☐ Rs. 1,00,001/- to Rs. 5,00,000/- ☐ Rs. 5,00,001/- to Rs. 10,00,000/-

☐ Rs. 10,00,001/- to Rs. 25,00,000/-

☐ Above Rs. 25,00,001/-

Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student
☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Others (Specify)

3. Please tick, if applicable

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

4. Any other information

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

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

☐ Sole Holder ☐ Jointly ☐ Anyone or Survivor		
Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.		
☐ First Holder	☐ All Holder	Email id
	☐ Second Holder	
	☐ Third Holder	

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.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

(Signatures should be preferably in black ink).

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

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DP SECTION

SCHEDULE OF DEMAT SERVICE CHARGES:

PARTICULAR OF CHARGES	CHARGES
ACCOUNT OPENING	NIL
ACCOUNT CLOSING	NIL
AGREEMENT CHARGES	Rs. 510/-
YEARLY ANNUAL MAINTENANCE	Rs. 450/- for Individuals & Rs.950/- for Corporates
YEARLY ANNUAL MAINTENANCE FOR BSDA	
VALUATIONS UPTO RS. 4 LAKHS	NIL
VALUATIONS FROM RS. 4,00001 TO 10,00000 LAKHS	Rs. 100/-
MARKET PURCHASE	NIL
OFF MARKET PURCHASE	NIL
MARKET SALE (PER TRADE)	Rs. 20/- / 25/-
MARKET SALE (PER TRADE) for BSDA	Rs. 25/-
OFF MARKET SALE (PER TRADE)	Rs. 20/- / 50/-
OFF MARKET SALE (PER TRADE) for BSDA	Rs. 30/-
DEMATERLISATION PER CERTIFICATE	Rs. 10/-
REMATERLISATION PER CERTIFICATE	Rs. 15/-
POSTAGE PER DEMAT REQUEST	Rs. 50/-
PLEDGE CREATION/INVOCATION/CLOSURE	Rs. 25/-
ADD STATEMENT CHARGES	Rs. 10/- / 25/- (BSDA) / 60/- By Courier
MARGIN PLEDGE/UNPLEDGE CHARGES	Rs. 10/-
Issuance of Duplicate Instruction Book	Rs. 100/-

NOTE:

- Charges schedule based on existing CDSL charges, if CDSL revises its charges R. R. Nabar & Co. Share Brokers (P) Ltd. Reserves the rights for changing its services charges.
- Any service not quoted above shall be charged separately.
- Any extra statements shall be charged Rs. 2/- per page.
- GST as applicable shall be levied.
- Postal charges (DRF charges) will be charged separately for each request as given by the Beneficiary Account Holder.
- Same day execution / late instructions will be accepted on "A best efforts bases at the sole risk and responsibility of the depository account holder(s). The DP will not be held responsible for non-execution of same day instructions. The DP also reserves the rights to change any additional fee for processing same day execution instructions.
- Please note that in case we are unable to recover charges, depository services for your account will be "frozen" Any request to resume the services will be charged Rs. 250/-
- Transaction charges will be payable monthly.
- Statements other than monthly statement will be charged extra.
- Yearly Annual Maintenance for BSDA is charged based on the value of holdings as per CDSL Circular No. CDSL/OPS/DP/ Policy/2024/358 dated June 29, 2024.

AC No.	1	2	0	4	9	7	0	0	0	0	0				
	First/ Sole Holder					Second Holder					Third Holder				
Name															
Signature															

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature			

Declaration Form for opting out of nomination

To, TM/DP Name & Address	R. R. NABAR & CO. SHARE BROKERS (P) LTD. Examiner Press Building, 31, Dalal Street, Mumbai - 400 001.
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I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my/our trading/demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/demat account.

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

Names of Witness		
Address of Witness		
Signature of Witness	W	

As per SEBI rule you can Nominate 10 Nominees , Ask for Additional Annexure for more than 3 Nominees

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the

Freezing /Defreezing of accounts :

33) "The Joint holders are aware that in case of any statutory order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the order issuing authority".

electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

26. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

DEMAT DEBIT AND PLEDGE INSTRUCTIONS (DDPI)

VOLUNTARY

Date: __/__/__

Unique Client Code														
BO ID	1	2	0	4	9	7	0	0	0	0	0			
Name of First Holder														
Name of Second Holder														
Name of Third Holder														

To,
R. R. Nabar & Co. Share Brokers (P) Ltd.

Examiner Press Building, 31, Dalal Street, Fort, Mumbai - 400 001.

Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities as per SEBI circular SEBI/ HO/ MIRSD/ DoP/ P/ CIR/ 2022/ 44 dated April 4, 2022 & SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated October 6, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).

1. I/We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of R. R. Nabar & Co. Share Brokers (P) Ltd. and agree to authorize them to access my/our BO Account specified above for the limited purpose of settlement/margin obligation as specified below:

Sr. No.	Purpose	Signature of client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	First Holder:  Second Holder:  Third Holder: 
2.	Pledging/re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	First Holder:  Second Holder:  Third Holder: 
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	First Holder:  Second Holder:  Third Holder: 
4.	Tendering shares in open offers through Stock Exchange platforms	First Holder:  Second Holder:  Third Holder: 

* the same may be signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows:

Sr. No.	Demat A/C. No.	Purpose
1.	2204970000000111	BSE Cash Segment A/c - DDPI
2.	1204970000010486	BSE Principal A/c
3.	110000100017032	BSE Early Pay in
4.	1204970000010490	BSE CDSL - Pool
5.	IN646605	BSE NSDL - Pool
6.	1204970000028016	BSE CDSL CUSPA A/c.
7.	1204970000024045	BSE Margin Pledge A/c.
8.	IN300749-11203718	BSE NSDL CUSPA A/c.

*Any modification, deletion or addition in the above account shall be intimated to me/ us separately.

- The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/ Exchange.
- "Securities transferred on the basis of the DDPI provided by the client shall be credited to client's TM pool account /CM pool account/demat account of clearing corporation, as the case may be. The DDPI provided by the client shall be registered in the demat account of the client by TM/CM. Stock Exchanges and Depositories shall ensure that stock broker/stock broker and depository participant providing DDPI facility, has enabled its clients to revoke/ cancel the DDPI provided by them."
- "For the clients who issue the DDPI to stock broker/stock broker and depository participant, the following provisions of the SEBI circulars issued with respect to PoA shall stand replaced with DDPI.
 - Paragraphs 4.2.1 and 4.2.2 of SEBI circular no. SEBI/HO/MIRSD/DOP/CIR/P/2020/158 dated August 27, 2020, and Paragraphs 1(i) and 1(ii) of Annexure to the SEBI circular no. CIR/MRD/DMS/13/2010 dated April 23, 2010, with effect from September 1, 2022.
 - Paragraph 1 (iii) to the extent applicable for Mutual Fund transactions and tendering shares in open offers, of Annexure to the SEBI circular no. CIR/MRD/DMS/13/2010 dated April 23, 2010, with effect from November 18, 2022."

'Additional Rights And Obligations' of the Rights and Obligations Document (Annexure-4 of SEBI circular no. CIR/MIRSD/16/2011 dated August 22, 2011) and shall read as under:

R. R. Nabar & Co. Share Brokers (P) Ltd. shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI."

	First/Sole Holder	Second Holder	Third Holder
Signature			

We accept,

For R. R. Nabar & Co. Share Brokers (P) Ltd.

Director/Authorised Signatory

If HUF, Co-parceners Signature:	
1)	_____
2)	_____
3)	_____
4)	_____

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever

and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION

BOID

1	2	0	4	9	7	0	0		0	0	0				
(Please write your 8 digit DPID)								(Please write your 8 digit Client ID)							

Sole / First Holder's Name

:

Second Holder's Name

:

Third Holder's Name

:

Mobile Number on which messages are to be sent

+91													
-----	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts:- New mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of: _____

Email

ID:

(Please write only ONE valid email ID on which communication; if any, is to be sent)



Sole / First Holder



Second holder



Third Holder

Signatures

Place: _____

Date: _____

From,
Name : _____
Address : _____

To,
R. R. Nabar & Co. Share Brokers (P) Ltd.
Mumbai.
Sir,

Sub : Debiting CDSL Charges

I have registered with you in BSE (cash Market) having Client Code _____.

I request you to debit demat charges of my CDSL BO Account No. _____ to my above mentioned account.

Thanking you,
Yours faithfully,


Signature : _____

Name : _____

Date : _____

Place : _____

Identity of the applicants(s) is verified 'In-Person'

Identity of the applicant(s) including the guardian in case of minor account is establish by verifying the photograph(s) affixed in the account opening form as well as proof of identity document(s) with the person concerned.

Name of Authorised Signatory: _____

Signature of Authorised Signatory: _____

Signature of Applicant(s) in presence of Official



First/Sole Holder



Second Joint Holder



Third Joint Holder

Date: _____

DP ID	1	2	0	4	9	7	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

To,
R. R. NABAR & CO. SHARE BROKERS (P) LTD.

Examiner Press Building, 31, Dalal Street, Mumbai - 400 001.

Dear Sir/Madam,

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

☐ **OPTION 1:**

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

Yours faithfully,

OR

☐ **OPTION 2:**

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

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

COMMON MOBILE NUMBER / EMAIL ID DECLARATION

It is to be informed that as per SEBI guidelines common mobile no. / Email id cannot be used for single participant. However, under exceptional circumstances, the participants may provide common mobile no. or Email id at his / her specific request (in the declaration as mentioned below) provided such client belongs to one family. The relationship mentioned in the given should only be that of self, spouse, dependent children and dependent parents.

Date: _____

Client Code: _____

To,
R. R. Nabar & Co. Share Brokers (P) Ltd.

Examiner Press Building, 31, Dalal Street, Mumbai - 400 001. Tel.: 2267 4212 • Fax: 2267 1370

Sub: Request for Common Mobile Number / E-mail ID

Dear Sir,

I request you to update the mobile number _____ for the account opening form submitted.

The said mobile number belongs to _____ (relationship)

I request you to update the email id _____ for the account opening form submitted. The said email id belongs to _____ (relationship)

	First/Sole Holder	Second Holder	Third Holder
Signature			

To,

R. R. Nabar & Co. Share Brokers (P) Ltd.

Examiner Press Building, 31, Dalal Street, Mumbai - 400 001.

Tel.: 2267 4212 • Fax: 2267 1370

Date: _____

Dear Sir / Madam,

- ☐ I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form.
- ☐ I / We do not 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 BSDA facility for my / our below mentioned demat account number:
- ☐ I / We do not wish to avail the BSDA facility for my / our below mentioned demat account number:

DP ID	1	2	0	4	9	7	0	0	Client ID	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	--	--	--	--	--	--

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

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 BSDA 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.

	Signature
Sole/First Holder	
Second Holder	
Third Holder	

Eligibility for BSDA:

- The individual has or proposes to have only one demat account where he/she is the sole or first holder.
- The individual shall have only one BSDA in his/her name across all depositories.
- Value of securities held in the demat account shall not exceed ₹ 10 Lakhs for debt and other than debt securities combined at any point of time.

===== (Please Tear here) =====

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	4	9	7	0	0	Client ID	0	0						
Name																	
Address																	

For R. R. Nabar & Co. Share Brokers (P) Ltd.

Date:

(Authorised Signatory)

R. R. Nabar & Co. Share Brokers (P) Ltd.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

Regd. Office: Examiner Press Building, 31, Dalal Street, Fort, Mumbai - 400 001.

Tel.: 2267 4212 • Fax: 2267 1370 • E-mail: rrnabar@rrnabar.com

Unique Client Code (UCC) Details Addition/Deletion Request Form

Application No.		Date												
-----------------	--	------	--	--	--	--	--	--	--	--	--	--	--	--

Please fill all the details in **BLOCK LETTERS** in English

DP ID	1	2	0	4	9	7	0	0	Client ID	0	0	0						
-------	---	---	---	---	---	---	---	---	-----------	---	---	---	--	--	--	--	--	--

Permanent Account Number (PAN) of First/Sole Holder																		
---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Account Holder's Details																		
Name of First/Sole Holder																		
Name of Second Holder																		
Name of Third Holder																		

☐ I/We request to add Unique Client Code (UCC)

Unique Client Code (UCC)										Exch. ID	Segment ID	CM ID	TM ID

☐ I/We request to delink the Unique Client Code (UCC)

Unique Client Code (UCC)										Exch. ID	Segment ID	CM ID	TM ID

☐ I/We like to delink/add the Unique Client Code (UCC) with all beneficial owner's (BOID) linked with above mentioned Permanent Account Number (PAN).☐ I/We like to delink / add the Unique Client Code (UCC) with below mentioned beneficial owner's (BOID).

DP ID									Client ID									
DP ID									Client ID									
DP ID									Client ID									

(If additional benefical owner's need to be added, please continue in same format)

Reason for Add/Modify/Delete Unique Client Code (UCC): _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature 			

FATCA/CRS DECLARATION/SELF CERTIFICATION FOR INDIVIDUAL

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Client Code:			
Demat Account No.			
1. Indicate (✓) your Tax Residency/ Citizenship/Nationality	☐ India ☐ U.S.A. ☐ Others	☐ India ☐ U.S.A. ☐ Others	☐ India ☐ U.S.A. ☐ Others
If ticked on "Others" and/or "U.S.A", please provide all details under point no. 2,3,4,5 below:			
2. Specify City and Country of Birth			
3. Specify Country(ies) of Tax Residency/ Citizenship/Nationality/Green card holder, other than India			
4. Tax Identification Number (for U.S.A.) or its functional equivalent (other than U.S.A.)			
5. Source of Wealth	☐ Salary ☐ Business ☐ Gift ☐ Rental Income ☐ Royalty ☐ Ancestral Property ☐ Price Money ☐ Others		

DECLARATION

I / We hereby declare, agree and confirm the following:

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform R. R. Nabar & Co. Share Brokers (P) Ltd. within 30 days, in case of any change in the above given status on a future date;
- If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by R. R. Nabar & Co. Share Brokers (P) Ltd. to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/ CRS norms are applicable or to any of the Government Agencies/Tax authorities/Regulators/Exchanges/ Depositories of India or of any country other than India;
- If my/our Country of Birth is US, however, I/We declare that I/We are not US Person, I/We shall provide a certificate of relinquishment of citizenship (Loss of nationality) OR a self certification stating reasons for not having such a certificate despite relinquishing US citizenship OR not obtaining US citizenship at birth.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signatures			

What is FATCA/ CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

In order to implement FATCA and CRS norms in India, R. R. Nabar & Co. Share Brokers (P) Ltd. is required to implement procedures to identify U.S. account holders or other jurisdictions reportable accounts, perform due diligence and obtain documentary evidence wherever required and report details of such accounts to relevant tax authority.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

- Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
- Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
- Self certification for stating reasons for not obtaining U.S. citizenship at birth.

R.R. NABAR & CO SHARE BROKERS PVT LTD**Examiner Press Building, 31, Dalal Street,
Fort, Mumbai-400 001****Annexure - A****Nomination Form for Demat Accounts****DP ID : 12049700 CLIENT ID: _____**

I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)*

Nomination Details

	Mandatory Details						Additional Details	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								

***Joint Accounts:**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously-having nominee	Nominee
Demise of all joint holders simultaneously-not having nominee	Legal heir(s) of the youngest holder

**If% is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of % shall be transferred to the first nominee mentioned in the nomination form.(see table in 'Transmission aspects').

***Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

****to be furnished only in following conditions / circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I/We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me / us by the DP as follows; (please tick, as appropriate)

- Name of nominee(s) :
- Nomination : Yes / No

2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to _____% of assets in the account or Rs._____.
(Optional) (strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

3) Signatur (s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder/thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable)*
Sole/first holder (Mr./Ms.)				
Second holder (Mr./Ms.)				
Third holder (Mr./Ms.)				

*Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts – any one of the holder can sign
 - 'First holder' Accounts – only First holder can sign
 - 'Jointly' Accounts – all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address (es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% Share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60 %	100%

Declaration Form for opting out of nomination

<u>Date</u>								
<u>DP ID</u>								
<u>Demat account</u>								
<u>I/WE hereby confirm that I/We do not wish to appoint any nominee(s) in my our demat account and understand the issues involved in non- appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the demat account.</u>								
<u>Name and Signature of Holder(s)*</u> 1. _____ 2. _____ 3. _____								
<u>Witness details*</u> <u>Witness Signature</u>								

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