

Application No. D

Trading Code \_\_\_\_\_



Registered Office : One Forbes, Dr.V. B. Gandhi Marg, Fort, Mumbai – 400 001.  
Tel.: (022)-6745 9000, Fax: (022)-6610 6723

SEBI Regn No. IN-DP-CDSL-450-2008

## CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

At Branch												
DP-ID						Client-Id						
1	2	0	5	4	6	0	0					
Client Name : _____												
Branch Name : _____						Branch Code : _____						
Receipt Date : _____						Branch Seal						

**Application Form for Opening a Demat Account**  
( Individual  NRI  Foreign National)

## DP ACCOUNT OPENING INSTRUCTIONS

### GENERAL INSTRUCTIONS

- The name of the account holders should be exactly in the same order as on the certificates to be dematerialized.
- Separate depository accounts have to be opened for different combinations of names in which the shares are held.
- In case some securities are held in the short name and some securities are held in the full name, a single account can be opened in full name.
- The AOF should be duly filled in and signed by all the holder(s)
- Account cannot be opened in the name of more than three holders.
- In case of securities that are already held in physical form in more than three names, opening of an account is permitted only for the purpose of dematerialisation. No credits by way of transactions are permitted into such accounts.

### ACCOUNTS IN THE NAME OF MINORS

- If a minor is an account holder, there can be no joint holders. That is, a minor can hold an account only as a sole holder.
- Proof of the Minor's age/ date of birth must be submitted with the account opening form.
- The natural guardian (father) has to sign on behalf of the minor. The natural guardian may give a POA to another person. A notarised copy of the POA must be submitted along with the account opening form.
- In case the father is deceased, the mother may act as guardian. In case both parents are deceased, the guardian will be as appointed by Court.
- There can be no nominee to a Minor's account.

### NOMINATION

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf: singly or jointly.
- Nomination to joint account is permitted only if there are not more than two joint holders. Both holders must sign the nomination form.
- Non-individuals including society, trust, body corporate, partnership firm, 'karta' of Hindu Undivided Family cannot nominate nor can they be nominees.
- There can be only one nominee per account.
- The account holder and nominee cannot be the same person.
- A non-resident Indian can be Nominee, subject to the exchange controls in force, from time to time.
- The nomination form should be duly witnessed by two witness.

### IF THE NOMINEE IS A MINOR :

- A Minor can be nominated. In that case details of the Guardian must be provided in the nomination form.
- Rules pertaining to guardianship provided under 'Accounts in the name of Minors' will apply.
- The guardian to a nominee cannot be a holder of the same account.

### AGREEMENTS

- The DP-Client Agreement is to be executed within 6 months from the date of franking.
- The agreement should be signed on all pages by the applicant (s) where indicated by "X" and completely filled in.
- The agreement should be witnessed and the witness signature, name and address should be filled in as indicated.

### ACCOUNTS IN THE NAME OF HUF

- Accounts can be opened by the Karta of a 'Hindu Undivided Family' (HUF) In such case, the status 'Karta' should be indicated with the name of the account holder and the account type should be indicated as HUF.
- The Karta should submit a declaration specifying the members of the HUF.
- There can be no joint holders or nominees to an account opened in the name of 'Karta', on behalf of an HUF.
- The stamp of KARTA should be put at all places where the 'Karta' signs.

### **ACCOUNTS IN THE NAME OF PARTNERSHIP FIRMS**

- An account cannot be opened in the name of Partnership Firm as such. An Account can be opened in the names of the partners as joint holders.

### **ACCOUNTS IN THE NAME OF SOLE PROPRIETORSHIP FIRM**

- An account cannot be opened in the name of the Sole Proprietorship firm as such. An account can be opened in the name of the Sole Proprietor as an individual.

### **STANDING INSTRUCTIONS**

- Standing instructions facilitates automatic credit of securities into the account in the event of a purchase. It is advisable to tick "YES".
- In case standing instructions are not given, the client will have to give a receipt instruction to the DP each time credit is required to his / her account.
- Standing instruction cannot be activated for accounts held in the name of more than three holders.

### **BANK DETAILS**

- Bank details are mandatory. Please Attach a copy of cheque leaf for verification.
- Please fill in all the Bank details in account opening form as per proof provided including MICR. NO.
- Please give NRE Bank details only in case Demat account is to be opened as NRI-Repatriable & NRO bank details only in case the Demat account is opened as NRI-NON-Repatriable.

### **IDENTIFICATION & ADDRESS PROOF**

- Identification & Address Proof is Compulsory for all the holder(s). Kindly submit PAN Card copy as identity proof and address proof to be submitted from the list of document mentioned below.
- The name of the holder mentioned in the AOF should be exactly as per their PAN card.

### **TRANSACTION STATEMENT**

- As per CDSL bye-laws the transaction statement will be mailed to the correspondence address of the sole / first holder every month if transactions take place in the account. In case there are no transactions, a transaction cum holding statement will be mailed on a quarterly basis.

### **PERMANENT/CORRESPONDENCE ADDRESS**

- If the correspondence and permanent address details mentioned in the AOF are different, then proofs should be provided for both the addresses and should be exactly as per the AOF.
- In case of NRI Account Foreign address proof is must.

### **POWER OF ATTORNEY**

- The AOF and DP- BO Agreement cannot be executed by a POA holder. It has to be compulsorily executed by the client.
- The POA must be signed by the donee in acceptance of the power of attorney.
- Duly authenticated photographs of the donor and donee must be submitted through a declaration.

### **DP CHARGES**

- Third party cheques will not be accepted.
- Out station cheques will not be accepted.

### **OTHERS**

- Any Correction / Alteration / Cancellation requires holder(s) authentication.

### **DOCUMENTATION REQUIRED FOR OPENING A DEPOSITORY ACCOUNT**

<p><b>(A) Individuals</b></p> <ul style="list-style-type: none"><li>• Photocopy of PAN card compulsory (all categories) for all holders.</li><li>• Passport size color photograph (s) of holder (s) / Nominee / Guardian (in case of minors) Should be pasted and signed across.</li><li>• Copy (ies) of documents accepted as proof of identity &amp; address (as listed below)</li><li>• The DP-client agreement, duly signed by the applicant (s) / Guardian in case of minors.</li><li>• The DP tariff structure for depository services, duly signed.</li><li>• Copy of power of Attorney ( if any) in favour of person(s) authorized to operate the A/c.</li></ul>	<p><b>(B) Minors</b></p> <ul style="list-style-type: none"><li>• Photocopy of PAN card is must for minor holder.</li><li>• Documents specified under (A). Details should be filled up by the Guardian.</li><li>• Proof of date of birth of minor.</li></ul>
--	---

## LIST OF DOCUMENTS ACCEPTED AS PROOF OF IDENTIFY & ADDRESS

### (A) Proof of Identity

- I. Passport (valid and the expiry date not less than two months)
- II. Voter ID Card
- III. PAN card with photograph
- IV. Driving License (valid and the expiry date not less than two months)
- V. Identity card / document with applicant's Photo, issued by
  - a) Central / State Government and its Departments
  - b) Statutory / Regulatory Authorities
  - c) Public Sector Undertakings
  - d) Scheduled Commercial Bank
  - e) Public Financial Institutions
  - f) Colleges affiliated to Universities
  - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members ; and
  - h) Credit cards/Debit cards with photographs issued by Banks.

### (B) Proof of Address

- I. Ration Card
- II. Passport (valid and the expiry date not less than two months)
- III. Voter ID Card
- IV. Driving License (valid and the expiry date not less than two months)
- V. Bank Passbook
- VI. Bank Statement along with copy of cheque leaf (with transactions not more than two quarters old with proper bank logo or with proper bank attestation)
- VII. Verified copies of
  - a) Electricity bills (not more than two months old).
  - b) Residence Telephone bills (not more than two months old) and
  - c) Leave and License Agreement/ Agreement for sale
- VIII. Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.
- IX. Identity card/document with address, issued by
  - a) Central / State Government and its Departments
  - b) Statutory / Regulatory Authorities
  - c) Public Sector Undertakings
  - d) Scheduled Commercial Bank
  - e) Public Financial Institutions
  - f) Colleges affiliated to Universities
  - g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council to their Members.

### IMPORTANT

- The document(s) provided by you should enable us to verify your photograph and signature as well as address and should be **self attested**.
- Witness name, address should be duly filled and signed wherever required.
- Account opening Process along with KYC is as per the guidelines and Bye-Laws of SEBI and CDSL. Any revision in the guidelines and Bye-Laws will have to be adhered to.

### Instructions for the Applicants/BOs for account opening

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

1. 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 Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, and Tel 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.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or self certified copy thereof, must be lodged along with the application.
6. All correspondence/ queries shall be addressed to the first/ sole applicant.
7. Fields marked with \* are compulsory
8. Strike off whichever option, in the account opening form, is not applicable.

**FOR OFFICE USE**

At Branch	At H.O.
<input type="checkbox"/> Form is complete in all respect <input type="checkbox"/> Agreement is completely filled, properly signed and witnessed <input type="checkbox"/> Customer has signed across the photograph <input type="checkbox"/> Proof of Identity copy attached <input type="checkbox"/> Proof of Address copy attached <input type="checkbox"/> PAN card copy attached <input type="checkbox"/> Latest/Current Tariff card signed <input type="checkbox"/> Type of account and SI for credit column ticked <input type="checkbox"/> Debit authorization signature verified & account number confirmed <input type="checkbox"/> Branch endorsement "Verified with original" affixed on all the supporting Documents. Branch round seal, Name, Employee Id, Signature is affixed. I confirm having complied with the guidelines for opening the demat account.  Name of the TSL Incharge Official: _____  Employee Id: _____  Signature: _____  Forwarded to HO on : _____	Receipt date: _____  Checked By _____  Maker By _____  Verified By _____  Emp. ID No. _____  Date : _____  Signature _____

# Application Form for Opening a Demat Account

(  Individual  NRI  Foreign National )

## TATA SECURITIES LTD

Registered Office : One Forbes, Dr.V. B. Gandhi Marg, Fort, Mumbai – 400 001.

Tel.: (022)-6745 9000, Fax: (022)-6610 6723

e-mail : investcare@tatacapital.com



DP ID - 12054600

(To be filled by the Depository Participant)

Date																				
DP Internal Reference No.																				
DP ID	1	2	0	5	4	6	0	0	Client ID											

(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: -

**Sole / First Holders Details**

First Name																			
Middle Name																			
Last Name																			
Father/Husband Name																			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other												Suffix						
Correspondence Address																			
City													State						
Country													PIN						
Telephone No.																			
Fax No.																			
Mobile No.																			
PAN																			
E-mail ID																			
Permanent Address (If different from Correspondence Address)																			
City													State						
Country													PIN						
Telephone No.																			
Fax No.																			
E-mail ID																			

**Joint Holders - Second Holder's Details**

First Name																			
Middle Name																			
Last Name																			
Father/Husband Name																			
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other												Suffix						
Permanent Address																			
City													State						
Country													PIN						
Telephone No.																			
Fax No.																			
Mobile No.																			
PAN																			
E-mail ID																			

**Joint Holder - Third Holder's Details**

First Name	
Middle Name	
Last Name	
Father/Husband Name	
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other
	Suffix
Permanent Address	
City	State
Country	PIN
Telephone No.	
Fax No.	
Mobile No.	
PAN	
E-mail ID	

**Type of Account**

(Please tick whichever is applicable)

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Others (specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)
I/We instruct the DP to receive each and every credit in my/our account	
[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
Do you wish to receive dividend / interest directly in to your Bank account given below through ECS?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	

**Bank Details [Dividend Bank Details]**

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

- (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 and not more than 2 quarters old, (or)
- (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 should be self-certified by the BO.

I/We have read the terms & conditions **DP-BO** agreement 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 Joint Holder	Third Joint Holder
Name			
Signatures	<sup>1/12</sup> X	<sup>1/12</sup> X	<sup>1/12</sup> X
Passport size Photograph	(Please sign across the Photograph)  <sup>2/12</sup> X	(Please sign across the Photograph)  <sup>2/12</sup> X	(Please sign across the Photograph)  <sup>2/12</sup> X

*(Signatures should be preferably in black ink).*

*[In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.]*

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.	

<b>Additional Details</b>	<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes MOBILE NO. +91 _____ Refer to Terms & Conditions given as <b>Annexure-2.4</b>	<input type="checkbox"/> No
	<b>easi</b>	<input type="checkbox"/> Yes. If yes, please contact your DP for details [Facility through CDSL's website:www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No



**AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING  
TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

This Agreement made and entered into at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, between **Tata Securities Limited**, having its registered office at One Forbes, Dr.V. B. Gandhi Marg, Fort, Mumbai – 400 001., hereinafter called "**the Participant**" of the One part; AND \_\_\_\_\_ (entity) having his / its office / registered office/ address at \_\_\_\_\_, hereinafter called "**the Beneficial Owner**" of the Other Part.

**WHEREAS** the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

**General Clause**

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

**Fees, Charges and Deposits**

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

**Statement of Account**

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

**Beneficial Owner shall intimate change of particulars**

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

**Depository not liable for claims against Beneficial Owner**

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

**Authorised Representative**

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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.

**Closure of Account**

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

**Stamp Duty**

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

**Force Majeure**

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption of failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

**Service of Notice**

- 10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

**Arbitration**

- 11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

**Jurisdiction**

- 12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

**Governing Law**

- 13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED	)	SIGNED AND DELIVERED	)
by the withinnamed the Participant	)	by the withinnamed the	)
for Tata Securities Ltd.	)	Beneficial Owner	)
by the hand of its authorised	)	X 1. _____	)
representative Shri _____	)	X 2. _____	)
in the presence of	)	X 3. _____	)
Witness Name _____	)	in the presence of _____	)
Signature _____	)	Witness Name _____	)
		Signature _____	)



	First/Sole Holder	Second Holder	Third Holder
Signature Name			
Signature	X <sup>5/12</sup>	X <sup>5/12</sup>	X <sup>5/12</sup>

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness		
	First Witness	Second Witness
Names of Witness		
Address of Witness		
Signature of Witness		

(To be filled by DP)

Nomination form accepted and registered vide Registration No. \_\_\_\_\_

dated \_\_\_\_\_.

For Tata Securities Ltd.  
(Authorised Signatory)

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

Identity of the applicant(s) including the guardian in case of minor account is established 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 Branch Official : \_\_\_\_\_ Employee Id.: \_\_\_\_\_

Designation : \_\_\_\_\_ Branch Name : \_\_\_\_\_

Place where in-person verification was carried out \_\_\_\_\_ Date \_\_\_\_\_

Branch round seal \_\_\_\_\_ Signature \_\_\_\_\_

#### Signature of Applicant(s) in presence of Branch Official

X<sup>6/12</sup> \_\_\_\_\_  
First Applicant

X<sup>6/12</sup> \_\_\_\_\_  
Second Applicant

X<sup>6/12</sup> \_\_\_\_\_  
Third Applicant

To,  
Tata Securities Ltd.  
Mumbai

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

Dear Sir/ Madam

**Authorisation for Debiting the Current/ Saving Account for Depository Services Charges**

I/We \_\_\_\_\_ residing at \_\_\_\_\_ maintains a Saving Account(s) / Current Accounts (The Said Accounts) with \_\_\_\_\_ hereinafter called 'the Bank' at its \_\_\_\_\_ Branch and the Saving / Current account No. is \_\_\_\_\_ I/We have authorised the bank to debit the said account for the services charges payable by the below mentioned persons, Also I/We have authorised the Bank to debit all types of bank charges / commission / fees (Services Charges) payable by me/us from the said accounts. I/We undertake that sufficient balances shall be maintained by me/us in the said accounts to facilitate the debiting of service charges. The failure on part of me/us to maintain sufficient balance in the said account shall not in any way impair the right of the bank to debit the service charges. I/We have further authorised the bank to charge any interest on debit balance in the said account due to the debiting of the service charges. The Bank shall not be obliged to provide overdraft facility on the said account but for the service charges payable by us/me.

Name of Person			
Signature	<input checked="" type="checkbox"/> _____ Sole/First Bank A/c Holder	<input checked="" type="checkbox"/> _____ Second Holder	<input checked="" type="checkbox"/> _____ Third Holder

To,  
Tata Securities Ltd.  
Mumbai

**Consent for receipt of statement of accounts electronically**

I/We wish to avail of the facility receiving the Transaction / Holding Statements & bills of my / our Depository account maintained with you by Email. I / We authorize you to discontinue sending the same in paper form with immediate effect.

I/We authorize you to send my / our Transaction Statement / Holding Statements & Bill to the following

Email Id: \_\_\_\_\_

Name of Person			
Signature	<input checked="" type="checkbox"/> _____ Sole/First A/c Holder	<input checked="" type="checkbox"/> _____ Second Holder	<input checked="" type="checkbox"/> _____ Third Holder

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

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

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

**Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.

3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed 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** (Please cancel out what is not applicable).

BOID

1	2	0	5	4	6	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 message are to be sent

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

(please write only the Mobile No.without prefixing country code or zero.)

The mobile number is registered in the name of: \_\_\_\_\_

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

Signatures

$\overset{9/12}{X}$ _____	$\overset{9/12}{X}$ _____	$\overset{9/12}{X}$ _____
Sole / First Holder	Second Holder	Third Holder

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

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

## POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/We, \_\_\_\_\_<sup>10/12</sup> X

and \_\_\_\_\_<sup>10/12</sup> X

and \_\_\_\_\_<sup>10/12</sup> X

residing / having our office/registered office at \_\_\_\_\_

(hereinafter referred to as "the Client" which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/ her heirs, executors, administrators and legal representatives/partner(s) for the time being of the said firm, the survivor(s) of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, DO SEND GREETINGS:

### WHEREAS

- A. The Client is desirous of investing in Securities and has entered / is in the process of entering into a Member Client agreement with TSL for purpose of availing stock broking, depository participant, distribution of mutual fund units, other third party financial products and / or other services including but not limited to trading through internet broking services offered through its website www.tatasecurities.com (or through any other website as launched by TSL for offering the said services).
- B. Tata Securities Limited (hereinafter referred to as "TSL"), a company incorporated under the Companies Act, 1956 and having its registered office at One Forbes, Dr V B Gandhi Marg, Fort, Mumbai- 400001 is inter alia registered as a trading and clearing member with Bombay Stock Exchange Limited (BSE) and National Stock Exchange of India Limited (NSE) (hereinafter referred to as the Exchanges), as a depository participant of the Central Depository Services (India) Limited (CDSL) and of National Securities Depository Limited (NSDL) and also registered with the Association of Mutual Funds of India (AMFI) as a distributor of the units of various mutual funds.
- C. The Client is also desirous of using his/its bank account and/or beneficial owner account particulars of which are furnished in the **schedule attached herewith** and further the client has undertaken to inform the changes, if any, to TSL in this regard.
- D. TSL has furnished the particulars of the various beneficial owner accounts and the Bank accounts in the **schedule attached hereto** where the funds and securities will be moved and further the client has agreed that TSL is entitled to modify the said particulars from time to time after informing the client about the same.
- E. For the purpose of availing the above mentioned services as well as a prerequisite for fulfilling all the various pre- conditions and requirements so as to deal in Securities through TSL, the Client is desirous of appointing TSL through their directors and / or their duly authorized officers as its constituted attorney(s), for carrying out acts, matters and things as required for the purpose of his investments / disinvestments in Securities and such other transaction carried out through TSL as aforesaid.

NOW KNOW YE ALL MEN AND THESE PRESENTS WITNESSETH that I/we the Client do hereby irrevocably nominate, constitute and appoint the said TSL, as its Attorney, (hereinafter referred to as "the Attorney") acting through any of its directors and / or its duly authorized officers to be the Client's true and lawful Attorney for and on behalf of the Client, to do all or any of the acts, matters and things and to exercise all or any of the powers and authorities hereby specifically conferred upon TSL- Under these Presents TSL is empowered to do as under:

1. To operate the beneficial owner account(s) specified above on my/our behalf and
  - (i) To issue instructions for the purpose of transferring the securities held in the aforesaid beneficial owner account(s) towards meeting the stock exchange related margin/delivery obligations including early pay-in arising out of trades executed by me/us on the stock exchanges through TSL;
  - (ii) To issue instructions for creating pledge of securities lying in the abovementioned beneficial accounts in favour of TSL for the purpose of meeting the margin requirements on my/our behalf in connection with the trades executed by me/us on the stock exchange through TSL.
  - (iii) To make applications for subscribing to or purchasing/effecting redemption of the mutual fund units, subscribing to securities in public issues, rights issues(including additional shares), offer for sale of securities, tendering of shares in open offers or buyback etc upon my/our instructions in this regard.
2. To transfer the funds from the bank accounts specified above for the following purposes:
  - (i) For meeting my/our settlement obligations/margin requirements in connection with the trades executed on my/our behalf by TSL on the stock exchanges;
  - (ii) For recovering any outstanding amount due from me/us arising out of our trading activities on the stock exchanges through TSL;
  - (iii) For meeting the obligations arising out of my/our subscribing to or availing such other products/facilities/services through TSL like mutual funds, public issues of securities, subscription to rights issues (including additional shares), subscribing to securities in offer for sale, tendering of securities in open offers of shares etc.
  - (iv) Towards monies/fees/charges, etc. due to TSL in its capacity as a stock broker, depository participant or any other principal by virtue of my/our making use of /subscribing to any of the facilities/services availed by me/us at my/our instance.
3. To return to me/us, the securities and/or funds that may have been received by TSL erroneously or those securities or funds that TSL acting in the capacity of the stock broker was not entitled to receive from me/us;
4. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis; notwithstanding any other document to be disseminated as specified by SEBI from time to time.
5. And for all or any of the purpose aforesaid to appoint from time to time a substitute or substitutes and to revoke such substitution but so that the appointment of any such substitute shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
6. To do or omit to do all such acts and things as TSL may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.

AND I / We hereby agree that TSL shall exercise the powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me / us, which instructions may be given orally, over the telephone, through the Internet, electronically or in any other manner acceptable to TSL and such instructions given by me / us shall be deemed to have been given by me / us and the same shall be admissible in evidence and shall not be questioned by me / us and shall be conclusive and binding against me / us and TSL may also exercise the powers and authorities conferred herein to meet my / our obligations under the Member Client agreement or any other agreement entered into / to be entered into with TSL in the capacity of any other intermediary registered with the Securities and Exchange Board of India (SEBI).

AND I / We hereby agree that all such acts done by my / our above mentioned attorney(s) shall be deemed to be acts done by me / us and if necessary shall be ratified by me / us on the instructions of the said attorney(s).

AND I / WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney(s) shall be valid, effective operative until the notice of such revocation (without notice) is received at the Registered Office of TSL at Mumbai provided however that notwithstanding such termination TSL shall be entitled to act upon the provisions of this authority for meeting and complete satisfaction of all the obligations created prior to receipt of notice of such termination at the registered office of TSL and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents.

AND it is hereby clarified and declared that the Attorney(s) being a body corporate the powers hereinbefore granted may be exercised by any of its agents or employee to whom the Attorney(s) may delegate any of the powers aforesaid and accordingly the Attorney(s) may appoint and remove any sub agent or attorney(s) from time to time as it may consider appropriate. One of the authorized signatory of Tata Securities Ltd. (the Donee of this Power of Attorney) has accepted these presents. Such acceptance of the said authorized signatory does not preclude the Donee of this Power of Attorney to act on the powers and authorities herein contained on through any of its other authorized signatories as may be appointed by the Attorney from time to time.

MADE at \_\_\_\_\_, on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

Name	Signature
	<sup>11/12</sup> X
	<sup>11/12</sup> X
	<sup>11/12</sup> X

DEPONENTS

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

\_\_\_\_\_ Accept

\_\_\_\_\_  
(Signature /S)

Authorised Signatory  
Tata Securities Ltd.

## SCHEDULE

Details of the beneficial owner account of the client (Donor) that TSL (Donee) is entitled to operate on behalf of the client:

Name of the Depository Participant	BO Account Number of the client
Tata Securities Limited	

Details of the Bank account of the client (Donor) that TSL (Donee) is entitled to operate on behalf of the client (strike off whichever is not applicable)

Name of the Bank and branch	Account Number of the client

Details of TSL (Donee's) Bank accounts and beneficial owner accounts where funds and securities can be moved

Name of the Bank	Account Number of TSL
HDFC Bank Ltd.	00600340036017
HDFC Bank Ltd.	00600340005338
HDFC Bank Ltd.	00602340028683
HDFC Bank Ltd.	00600340036024
Axis Bank Ltd.	004010202190307
ICICI Bank Ltd.	000405010455

CM BP ID	CM Name
IN-564463	Tata Securities Limited
IN-655103	Tata Securities Limited

Name of the DP	DP Id	Depository	Beneficiary Account No
Tata Securities Limited	12054600	CDSL	1205460000000101
			1205460000000057
			1205460000000076
			1205460000000042
			1205460000000038
			1205460000000023

Name	Signature
	<sup>12/12</sup> X
	<sup>12/12</sup> X
	<sup>12/12</sup> X

For Tata Securities Limited

Authorised signatory

SAMPLE COPY

SAMPLE COPY