



PL Capital
PRABHUDAS LILLADHER

Client Registration

NSDL DEMAT ACCOUNT OPENING FORM

INDIVIDUAL /NRI ACCOUNT

INDEX

Sr. No.	Name of the Document	Brief Significance of the Document
1.	Account Opening Form	A. KYC form - Document captures basic information about the constituents and an instruction/checklist. (To be filled by customer) B. Document captures the additional information for Demat Account
2.	Nomination Form	Appointing Nominee for Demat account
3.	Nomination Dissent Form	In case Nomination is NOT appointed to Demat account
4.	FATCA / CRS Declaration	Confirmation under the Foreign Account Tax Compliance Act (FATCA) & Common Reporting Standards (CRS)
5.	Relationship Letter	Request Letter to update family member's Email ID &/or Mobile number in demat account
6.	Tariff Sheet	Document detailing the demat fee schedule

MANDATORY DOCUMENTS AS PRESCRIBED BY THE SEBI, DEPOSITORIES AND STOCK EXCHANGES

1.	Rights and Obligations (DP)	Documents detailing Rights & Obligations of Beneficial Owner and Depository Participant
2.	Useful Do's and Don'ts	Document detailing the do's and don'ts

Registered & Correspondence office address: 3rd Floor, Sadhana House, 570, P. B. Marg, Worli, Mumbai – 400018; Tel.: (91) (22) 66322366(Broking), (91) (22) 6632 2343 / 2453 (DP).

Website: www.plindia.com

CIN: U67190MH1983PTC029670

Compliance Officer Name: Ms. Jaishri Rohra, Phone No. (91) (22) 66322357 E-mail ID: jaishrirohra@plindia.com

Managing Director Name: Mrs. Amisha Vora E-mail ID: jtmd@plindia.com

For any grievance / dispute: Please contact Prabhudas Lilladher Private Limited at the above address or email ID- grievance-br@plindia.com &

Tel. No. (91) (22) 66322366 (Broking related) / grievance-dp@plindia.com & Tel. No. (91) (22) 6632 2343 / 2453 (DP related)

Exchange / Depository	Email	Telephone No.
NSDL	relations@nsdl.com	022-4886 7000
NSE	ignse@nse.co.in	022-2659 8191
BSE	is@bseindia.com	022- 22728016 / 8282
MCX	grievance@mcxindia.com	022-67318888

PART II – ACCOUNT OPENING FORM

(FOR INDIVIDUALS)

DP ID – IN303868

PRABHUDAS LILLADHER PVT. LTD.

3rd floor, Sadhana House, 570 P. B. Marg,
 Behind Mahindra Towers, Worli, Mumbai 400018
 Tel: 91-22-6632 2453 / 2343

Client ID (To be filled by Depository Participant)

Date

(Please fill all the details in CAPITAL LETTERS only)

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

A. Type of Account

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Margin
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	
<input type="checkbox"/> Others	<input style="width: 100%; height: 20px;" type="text"/> Please Specify		

B. For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of AOP, Partnership Firm, Unregistered Trust, etc. should be mentioned below:

Name PAN

C. Details of Account Holders

	Sole / First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation <i>(Please tick any one and give brief details)</i>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <input style="width: 100%; height: 20px;" type="text"/> Please specify	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <input style="width: 100%; height: 20px;" type="text"/> Please specify	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others <input style="width: 100%; height: 20px;" type="text"/> Please specify
Brief Details			
Gross Annual Income	<input type="checkbox"/> Below ₹ 1 Lakh <input type="checkbox"/> ₹ 1-5 Lakh <input type="checkbox"/> ₹ 5-10 Lakh <input type="checkbox"/> ₹ 10-25 Lakh <input type="checkbox"/> More than ₹ 25 Lakh	<input type="checkbox"/> Below ₹ 1 Lakh <input type="checkbox"/> ₹ 1-5 Lakh <input type="checkbox"/> ₹ 5-10 Lakh <input type="checkbox"/> ₹ 10-25 Lakh <input type="checkbox"/> More than ₹ 25 Lakh	<input type="checkbox"/> Below ₹ 1 Lakh <input type="checkbox"/> ₹ 1-5 Lakh <input type="checkbox"/> ₹ 5-10 Lakh <input type="checkbox"/> ₹ 10-25 Lakh <input type="checkbox"/> More than ₹ 25 Lakh
PEP Status	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Relative of PEP <input type="checkbox"/> Not Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Relative of PEP <input type="checkbox"/> Not Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Relative of PEP <input type="checkbox"/> Not Applicable
Spouse Name			

D. Bank Details

Savings Current Other

Account Type

Account Number

Bank Name

Branch Name

Bank Branch Address

City, State, Country & Pincode

MICR Code (9 Digit)

IFSC Code (11 Characters)

E. Standing Instructions

I/We authorise you to receive credits automatically into my/our account Yes No

Account to be operated through Demat Debit & Pledge Instructions (DDPI) Yes No

Account to be operated through Power of Attorney (POA) Yes No

SMS Alert Facility {Mandatory if opted "Yes" for DDPI or POA. Ensure that the Mobile number is provided in KYC Form}

	Sole / First Holder	Second Holder	Third Holder
Send to	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Mode of receiving Statement of Account Physical Form Electronic Form (Ensure that E-mail ID is provided in KYC)

For A/cs with Joint holders:
 All Communication to be sent to First Holder All Holders

F. Guardian Details (Where sole holder is a Minor) (Separate KYC Forms to be submitted for Guardian & Minor)

Name of Guardian

Relationship of Guardian with Minor

PAN of Guardian

G. Nomination

I/We wish to make a Nomination. I/We do not wish to make a Nomination.

("Opt for" or "Opt-out of" Nomination Form to be provided mandatorily as per case)

H. Mode of Operations for Joint Accounts

Jointly Any-one of the Holder or Survivors

If Mode of operation for joint account is chosen as anyone of the holder/survivor, only specified operations such as transfer of securities including Inter-depository transfer, pledge creation, closure & invocation including margin-pledge of securities and freeze/unfreeze of account &/or securities will be permitted.

I. BSDA (Basic Services Demat Account) Confirmation

 I/We do not wish to opt for BSDA

 I/We wish to opt for BSDA

J. Consent to Share E-Mail ID with RTA

 Yes

 No

K. Applicable to NRI / Foreign National Applicant Only

 RBI Approval No.

 RBI Approval Date
 I/We hereby declare that I/we have complied with & will continue to comply with FEMA regulations & other applicable laws.

 Undertaking for Overseas P. O. Box address (Mandatory if NRI/FN has provided P. O. Box address)

I/We am/ are presently residing in _____ (name of city & country) at the below mentioned address (other than the P. O. Box address). Since all correspondences will be received at my P. O. Box address as mentioned in the KRA-KYC Form, I/We undertake to inform you whenever there is a change in the below mentioned residential address.

Line 1	<input type="text"/>		
Line 2	<input type="text"/>		
City/Town/Village	<input type="text"/>	District	<input type="text"/>
State	<input type="text"/>	Country	<input type="text"/>
Pin Code	<input type="text"/>		

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant"

L. DP Charges Payment Option

 Transfer DP Debt To My Trading Account On Regular basis

 Trading Code

	First / Sole Holder / Guardian (in case of Minor applicant)	Second Holder	Third Holder
Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
Signatures**	<input type="text"/> F1	<input type="text"/> S1	<input type="text"/> T1

NOTES:

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate.
- Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Strike off whichever is not applicable.

Nomination Form – Demat Account

(To be filled & signed by all holders in the demat account)

Prabhudas Lilladher Private Limited
 3rd Floor, Sadhana House, 570, P.B. Marg,
 Behind Mahindra Tower, Worli,
 Mumbai - 400018, Maharashtra, India.

Date

DP ID Client ID UCC

Nomination Details

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

1st Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian (If the nominee is minor) Date of Birth Nominee

2nd Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian (If the nominee is minor) Date of Birth Nominee

3rd Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian (If the nominee is minor) Date of Birth Nominee

4th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

5th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

6th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

7th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

8th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

9th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

10th Nominee Details

Mandatory Details:

Name of Nominee

Postal Address

Relationship with the Applicant Share of Nominee (%)** %

Mobile No. Identity Number ***

E-mail ID

Additional Details****

Guardian Date of Birth Nominee

(If the nominee is minor)

***Joint Accounts:**

Event	Transmission of Account / Folio to
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 (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

**** 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, provided to me/us by the AMC / 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 / folio or ₹ _____.

(strike off portions that are not relevant)

#3.5 The regulated entity shall provide the investors having single holding / account / folio, the option to;

- a) empower, any one of the nominees (excluding minor nominee) to operate the investor's account / folio, if the investor is physical incapacitated, but still has the capacity to contract,
- b) specify either the percentage or absolute value of assets in the account/ folio that can be encashed by such nominee,
- c) change such mandate any number of times without any restriction.

3. This nomination shall supersede any prior nomination made by me / us, if any.

	Name(s) of holder	Signature(s) of holder	Witness Signature*
Sole / First Holder (Mr. / Ms. / Mrs.)			
Second Holder (Mr. / Ms. / Mrs.)			
Third Holder (Mr. / Ms. / Mrs.)			

*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:

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 ## of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapiation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'Jointly' Folios / Accounts - both holders have to sign

Regulated entities shall have the following online mechanism for existing and new investors, who want to opt-out of nomination;

- a. The online facility shall provide a mechanism for the investor to affirm their choice, in case of opting out of nomination. Upon choosing this option, the investor shall get an OTP
- b. Upon submitting this OTP, the investor shall have a choice to either
 - furnish the unique acknowledgement number of having submitted the declaration form to opt-out in physical mode with wet signature at any of the office of the concerned regulated entity
 - or
 - capture their opting-out through video recording by the regulated entity as per extant norms in this regard

Transmission Aspects

- AMCs / DPs shall transmit the folio / 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.
- 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 AMC / 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%

For PL-HO Office use only:

Demat A/c Nomination Registration Date

Declaration Form for Opting Demat Account Out of Nomination

(To be filled ONLY if Nominee is NOT to be appointed to the Demat account)

DP ID Client ID Date

1st Holder Name

2nd Holder Name

3rd Holder Name

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). Further I/we am/are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my /our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

	First-Holder	Second Holder	Third Holder
Name	<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>	<input style="width: 100%; height: 100%;" type="text"/>
Signatures	F3 <input style="width: 100%; height: 100%;" type="text"/>	S3 <input style="width: 100%; height: 100%;" type="text"/>	T3 <input style="width: 100%; height: 100%;" type="text"/>

**** In case Account-holder affixes thumb impression, then this Form must be duly notarized by a Notary.**

Confirmation Under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) - Individual Account

FATCA- CRS Terms & Conditions

Towards compliance with tax information sharing laws, such as FATCA & CRS, we would be required to seek additional personal tax & beneficial ownership information & certain certification/documentation from our account holders. Such information may either be sought at the time of account opening or at any time subsequently. Under certain circumstances (including if we do not receive self-declaration from you), we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your Tax residency, please consult your tax advisor. Should there be any change in the information provided by you, please ensure to inform us within 30 days of such a change. Towards compliance with such laws, we may also be required to provide information to any institution such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may be constrained to withhold & pay out sums from your account or close or suspend your account(s).

FATCA-CRS Instructions

If you are a Citizen of the USA or a Resident or Green-Card Holder, please include USA in the Foreign Country information field along with your USA Tax Identification number. The provisions of FATCA are contained in the US Hire Act, 2010. It is mandatory to supply a TIN or a functional equivalent if the country in which you are a tax resident issues such an identification number. If no TIN is yet available or has not been issued, please provide an explanation in a separate attachment to this form.

We will not be responsible for any action taken by tax authorities if incorrect/ incomplete information is shared by you.

	First / Sole / Minor's Guardian	Second Holder	Third Holder
Name of Holder/s			
Place & Country of Birth			
Are you a Tax-Resident of country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, country of jurisdiction of Tax-Residency			
Tax Identification No. (TIN) issued by country			
Tax Identification Type (SSN, SIN, EIN etc.)			
Address in Tax Resident Country			
Are you a Resident or Citizen of the USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have US telephone no.?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
US residence/ mailing/ PO box address	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you pay tax in the USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you hold any identification no. in USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is your PoA holder a citizen of USA?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/We have understood the information requirements of this form (read along with FATCA-CRS instructions) and hereby confirm that the information provided by me/us on this declaration form & on KYC form is true, correct, and complete. I/We have read and understood the FATCA-CRS terms and conditions and hereby accept the same.

	First/Sole Holder	Second Holder	Third Holder
Signature	F4	S4	T4

**** In case Account-holder affixes thumb impression, then this Form must be duly notarised by a Notary.**

Request Letter to Update Family Member's Contact Details

(To be given only if Mobile Number &/or E-mail ID of family member is to be updated instead of applicant's own details)

Date

Prabhudas Lilladher Pvt. Ltd.
 3rd Floor, Sadhana House,
 570 P B Marg, Worli, Mumbai 400 018

DP ID **Client ID**

Sub: Updation of Mobile Number &/or E-mail Address of my family member in my/our BO account

Dear Sir,

I/We request you to kindly update the below mentioned Mobile Number / E-mail Address pertaining to my/our family member in the above mentioned demat account to be opened with you.

	Mobile No. / E-mail ID	Name of Family Member to whom it belongs to	Relationship with BO Account-holder <i>(Tick whichever is applicable)</i>
Mobile No.			<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Father <input type="checkbox"/> Dependent Mother <input type="checkbox"/> Dependent Son <input type="checkbox"/> Dependent Daughter
E-mail ID			<input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Father <input type="checkbox"/> Dependent Mother <input type="checkbox"/> Dependent Son <input type="checkbox"/> Dependent Daughter

Thank you,

Sole / First Holder

Second Holder

Third Holder

Name			
Signatures	F5	S5	T5

Note: Family Member is restricted to only Spouse, Dependent Parent & Dependent Children as per the circular issued by regulatory authorities.

NSDL DEMAT ACCOUNT - SCHEME CHARGES

I / We wish to opt for the below-ticked scheme for my Demat account:

	CHARGE TYPE	<input type="checkbox"/> STANDARD SCHEME	<input type="checkbox"/> BSDA SCHEME
1	Annual Maintenance Charges (AMC) • Individual A/cs • Non-Individual A/cs* <i>(AMC to be paid upfront at time of A/c opening)</i> Account Maintenance NSDL Charges	₹ 300.00 ₹ 1,000.00 ₹500 For Corporate Account	NIL NIL NIL
	AMC based on Holdings Value • Up to ₹4 Lakhs • More than ₹4 lakhs but up to ₹10 lakhs <i>Holdings value exceeds ₹10 lakhs - Standard Scheme charges will be applicable</i>	Not Applicable	NIL ₹ 100.00
2	KRA-KYC Creation / Download Charges <i>(Payable upfront)</i>	₹ 50.00 per holder	
3	Transaction Charges DP Charges (Debits only) • On Market from BO A/c • Off Market Transfers within/outside PL-DP • Transfer to CM A/c other than PL Settlement/Transaction Debit NSDL Charges <i>(Per debit instruction)</i>	₹ 10.00 ₹ 15.00 ₹ 50.00 ₹ 4.00 per debit instruction	₹ 50.00 ₹ 75.00 ₹ 100.00 ₹ 4.00 per debit instruction
	Dematerialisation / De-Stat	₹ 5 per Certificate (Min. ₹ 50 – Max ₹ 1000) plus actual courier charges	
5	Demat Rejections (Internal/Company objections)	Actual Courier Charges	
6	Pledge Charges DP Charges <i>(Creation / Closure / Invocation – by Pledgor / Pledgee)</i> Pledge Creation NSDL Charges (Per instruction)	₹ 30.00 per transaction ₹ 25.00 per instruction	
	Margin Pledge Charges DP Charges <i>(Creation / Closure / Invocation – by Pledgor / Pledgee)</i> Margin Pledge NSDL Charges (Per instruction)	₹ 10.00 per transaction ₹ 15.00 per MTF transaction Margin Pledge Initiation from client account to TM ₹5/-per instruction, Re-Pledge - ₹1 per instruction, Margin Pledge release by TM / CM to Client Account or Invocation by CM or TM ₹5/-per instruction	
8	Remat / Re-stat Charges * DP Charges Remat NSDL Charges	Higher of ₹ 10.00 per Certificate or ₹ 10 per 100 shares a) ₹ 10/- for every hundred securities or part thereof subject to maximum fee of ₹ 5,00,000/-; or b) a flat fee of ₹ 10/- per certificate, whichever is higher.	
9	DIS Booklet Re-issue	₹ 10.00 per booklet of 10 leaves plus ₹ 50.00 courier charges	
10	Statement of Transactions & Holdings # <i>(Printed & E-statements)</i>	₹ 25.00 per additional statement	
11	NDU DP Charges NDU NSDL Charges	NIL 0.01% of the value of securities upon creation of hold subject to a minimum of ₹ 25/-	
	Other Charges • Late On / Off / Inter-Depository DIS (received on pay-in day) • E-stamp Paper charges for DDPI • Additional Client Master Report	₹ 25.00 ₹ 50.00 ₹ 50.00 for additional CMR	
13	GST & Other statutory taxes	Extra on all charge type – as applicable from time to time	

* Inclusive of Actual NSDL charges and are subject to changes as and when NSDL changes its charge structure.

Transaction cum holding statement is sent by NSDL directly to BO's correspondence address or registered E-mail ID (in case of E-statement) on DP's behalf.

** In case Account-holder affixes thumb impression, then this Form must be duly notarized by a Notary.

	Sole / First Holder	Second Holder	Third Holder
Name			
Signatures			

(All signatures to be made under Entity's Rubber-stamp)

Note:

- All cheque payments are to be made in the name of "Prabhudas Lilladher Pvt. Ltd." It may be handed over to DP Department at H.O. or to our representative in BO's local area for deposit into our account. Out-station cheques will not be accepted at H.O.
- Cash deposited in out-station branches & cheques returned by Bank will attract bank charges as applicable.
- AMC will be pro-rated monthly from the month in which account is opened till end of first financial year. This is not applicable to BSDA scheme.
- For subsequent years, AMC is payable in full before 30th April. In case BO wishes to discontinue in subsequent year, he must ensure that account is closed before 31st March.
- BSDA (Basic Services Demat Account under SEBI Circular dated 27/08/2012, revised w.e.f. September 2024 based on SEBI Circular dated 28/06/2024) is applicable to Individual BO account where the 1st/Sole holder maintains a single demat account across both depositories and value of securities in the BSDA account does not exceed ₹ 10 lakhs. If the value of holdings in BSDA a/c exceeds ₹ 10 lakhs at any date, AMC as mentioned under Standard Scheme becomes applicable & shall be levied from the month in which account crosses the prescribed limit.
- Pursuant to SEBI Circular dated 11/12/2015, BSDA Eligible Accountholders shall be converted by default into BSDA account on the date of subsequent AMC Billing cycle (i.e. in April) based on value of holdings as on the last day of previous billing cycle (i.e. 31st March). BOs wishing to continue with existing regular schemes must inform DP in writing or send e-mail from their registered e-mail IDs about their intention. As prescribed by SEBI, the value of the holding shall be determined based on daily closing rate files received from NSDL.
- Request for change in scheme in between the year shall not be entertained. No adjustment of previous bill will be made.
- Instructions received through Fax will not be executed unless BO has submitted Fax Indemnity. Such instructions should be followed by hard copy within 48 hours from date of execution failing which DP reserves the right to withdraw this facility given to BO.
- On Market instructions must reach PL-DP by 5:30 p.m. on the day before pay-in day. Instructions received for transfer of securities to meet pay-in obligations, which are to be executed on pay-in day, will be construed as late instructions, and will be accepted only at client's risk. PL-DP will not be responsible for wrong or non-execution of late instructions due to any reason.
- BO account shall be frozen for all operations on failure or delay in making payment of DP charges till such time all payments are made along with interest, if any. If outstanding DP payments are not cleared, inspite of repeated reminders, PL-DP reserves the right to close account where there are no holdings, after giving one-month notice to BO.
- All PL-DP charges are based on existing NSDL charges & are subject to revision if NSDL revises its charges. However, PL- DP reserves rights to revise tariff structure after giving one-month notice. Any service not quoted above shall be charged separately as decided by DP.

Rights and Obligations of Beneficial Owner and Depository

Participant as prescribed by the SEBI and Depositories

General Clause

- The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, the SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of the 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.
- 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 the SEBI from time to time.

Beneficial Owner information

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

Fees / Charges / Tariff

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

Dematerialisation

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

Separate Accounts

- The DP shall open separate 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 dematerialised form.
- The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialisation and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, the SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

- The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorised by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorisations.
- 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.

Statement of account

- 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 the SEBI/depository in this regard.
- 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.
- The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However, if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
- In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by the SEBI and/or Depository from time to time.

Manner of Closure of Demat account

- The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account 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 rematerialise the security balances held.
- Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialise such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

- As per Section 16 of Depositories Act, 1996,
 - Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

- Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

- 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.

Authorised representative

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

Law and Jurisdiction

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

Prabhudas Lilladher Private Limited
3rd floor, Sadhana House, 570 P. B. Marg,
Behind Mahindra Towers, Worli, Mumbai 400018

ACKNOWLEDGEMENT

DP ID – IN303868

Received the application from Mr/Ms _____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date

D	D	M	M	Y	Y	Y	Y
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Participant Stamp & Signature



Prabhudas Lilladher Private Limited

Regd. Office: 3rd Floor, Sadhana House, 570, P. B. Marg, Worli, Mumbai - 400 018.
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SEBI Common Regn. No.: INZ000196637

Depository Common Regn. No.: IN-DP-439-2019

