

SI. No. IND: **NI**

Deutsche Bank AG,  
Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai 400 001.

**Deutsche Bank**

## DEPOSITORY SERVICES ACCOUNT OPENING – INDIVIDUALS NATIONAL SECURITIES DEPOSITORY LTD.

Lead Generated By (Code) Branch Code Lead Converted By (Code) Branch Name Internal Ref. No. Demat Account No. 

To be filled in DP

**DP ID: IN300167****Depository Account Opening Documents (AOD) - Checklist (Investor)**Date 

D D M M Y Y Y Y

Name of the Investor 

First name

Middle name

Last name

**Types of Account**
☐ Ordinary Resident
 ☐ NRI-Repatriable
 ☐ NRI-Non-Repatriable
 ☐ Others (Please specify) (Default is, Ordinary Resident)

Names of the Document	Submitted		Exceptions, if any
	Yes	No	
Account Opening Form duly signed by all holders	<input type="checkbox"/>	<input type="checkbox"/>	
Proof of Identity	<input type="checkbox"/>	<input type="checkbox"/>	
Proof of Address	<input type="checkbox"/>	<input type="checkbox"/>	
Signed Photographs	<input type="checkbox"/>	<input type="checkbox"/>	
Current/Savings A/c (Dividend Purpose)	<input type="checkbox"/>	<input type="checkbox"/>	
Debit authorisation signed by the SB Account Holder	<input type="checkbox"/>	<input type="checkbox"/>	
Depository Agreement *duly signed by all holders	<input type="checkbox"/>	<input type="checkbox"/>	
Tariff Sheet duly signed by all holders	<input type="checkbox"/>	<input type="checkbox"/>	
Power of Attorney (If any)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>In case of NRIs</b>			
Copy: Passport/Visa (Mandatory)	<input type="checkbox"/>	<input type="checkbox"/>	
Declaration Form	<input type="checkbox"/>	<input type="checkbox"/>	
NRI Form	<input type="checkbox"/>	<input type="checkbox"/>	
RPI Form	<input type="checkbox"/>	<input type="checkbox"/>	
RBI Approval Copy	<input type="checkbox"/>	<input type="checkbox"/>	

\*Depository Agreement on non-judicial Stamp Paper. (As per the place of execution of Agreement.)

NOTE: ANY CORRECTION/ALTERATION IN THE FORM REQUIRES SIGNATURE OF ALL HOLDERS.

- For Documents to be submitted, see options as given overleaf.
- Attach all ID Proofs, Address Proofs and relevant documents on last page only.

## Notes

1. All communications shall be sent at the address of the **Sole/First Holder** only.
2. In case of additional signatures, separate annexures should be attached to the application form.
3. Thumb impressions and signatures other than in English or Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate.
4. Strike off whichever is not applicable.
5. Any Correction/Alteration/Cancellation requires holders authentication.
6. In case address in the introduction documents is different from the address as given in Demat Account opening form, please attach a copy, of the Telephone Bill, Electricity Bill (not later 2 months' old)/Leave Licence Agreement confirming your address.
7. In case Correspondence Address is differing from Local/Permanent Address, proof is required to be submitted.
8. Photograph of the holders should be in original.
9. A copy of any of the following maybe accepted as proof of identity/proof of address:

## Proof of Identity and Proof of Correspondence is compulsory for all holders in the Demat Account

Introduction Documents furnished for Proof of Identity and Correspondence Address.

Proof of Identity (Any one)	Proof of Correspondence Address (Any one)
Passport	Passport
Voter ID Card	Ration Card
Driving Licence	Voter ID Card
Pan Card	Driving Licence
MAPIN Card	Bank Passbook
Photo Credit Cards/Photo Debit Cards issued by Banks	Verified documents of a) Electricity Bill (not more than 2 month's old) b) Residence Telephone bill (not more than 2 months' old) c) Leave and Licence Agreement/Agreement for sale
Identity Card/Document with Applicant's Photo issued by	Identity Card/Document with Applicant's Photo, issued by
a) Central/State Government and its Departments	a) Central/State Government and its Departments
b) Statutory/Regulatory Authorities	b) Statutory/Regulatory Authorities
c) Public Sector Undertakings	c) Public Sector Undertakings
d) Scheduled Commercial Banks	d) Scheduled Commercial Banks
e) Public Financial Institutions	e) Public Financial Institutions
f) Colleges affiliated to universities (this can be treated as valid only till the time the applicant is a student)	f) Colleges affiliated to universities (this can be treated as valid only till the time the applicant is a student)
g) Professional bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members	g) Professional bodies such as ICAI, ICWAI, ICSI, Bar Council etc, to their Members
	Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.

## For Office Use only - Exceptions/Rejection Found

Rejection Ref. No.

Date   
D D M M Y Y Y Y

### 1. Application form

- a Name of holder/s (1st, 2nd, 3rd) not readable
- b Address not readable
- c PIN code number required
- d Guardian sign. required
- e Photograph required
- f Correction/Cancellation require holder's initials

### 3. Bank Details (Dividend purpose)

- a SB/Current A/c No. required
- b Name and address of the Bank required
- c Name and address of the Bank not clear
- d NRI dividend bank details can't be used for Ordinary Demat A/c

### 5. Rights and Obligations of Beneficial owner and Depository

- a Correction/Cancellation requires holder/s initial
- b Signature of holder/s required

### 7. Power of Attorney

- a PoA holder signature reqd. on PoA copy
- b Attestation of PoA copy reqd.

### 8. Others (Specify)

- a. \_\_\_\_\_
- b. \_\_\_\_\_

RECTIFY/CLEAR POINT NO. \_\_\_\_\_

**NOTE : ANY CORRECTION/ALTERATION/CANCELLATION REQUIRES HOLDER'S AUTHENTICATION.**

### 2. Introduction Documents

- a Proof of Identity required
- b Proof of Address required
- c Attestation of documents required
- d Mismatch in existing Demat A/c holders signature

### 4. Debit Authorisation Sheet

- a Wrong SB/Current Account No.
- b SB/Current A/c. closed
- c SB/Current account holders sign. required
- d Signature Mismatch

### 6. Tariff Sheet

- a Signature of holder/s required
- b Tariff sheet required
- c Old tariff sheet attached

# FORM 9

## PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)For First Holder

**Deutsche Bank AG.,** Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai – 400001

Please fill this form in ENGLISH and in BLOCK LETTERS

### A. IDENTITY DETAILS

1	Name of the Applicant												Photograph Please affix your recent passport size photograph <div>Signature Across photograph</div>																	
	2		Father's/Husband's Name																											
3	a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth		D	D	M	M	Y	Y	Y	Y																
4	a) Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify, _____)			a) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National																								
5	a) PAN														b) Aadhaar Number, if any															
6	Specify the proof of identity submitted			<input type="checkbox"/> PAN card <input type="checkbox"/> Any other (Please specify; _____)																										

### B. ADDRESS DETAILS

1	Residence / Correspondence Address	<input type="checkbox"/> Correspondence Address				<input type="checkbox"/> Residence Address											
		_____ _____ _____															
		City/Town/Village								PIN Code							
		State								Country							
2	Specify the proof of address submitted for Residence / correspondence address																
3	Contact Details	Tel. (Off.)								Tel. (Res.)							
		Fax No.								Mobile No.							
		Email ID															
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).																	
4	Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)	_____ _____ _____															
		City/Town/Village								PIN Code							
		State								Country							

### C. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant \_\_\_\_\_

Date

D D M M Y Y Y Y

FOR OFFICE USE ONLY														
Sr. No.	Particulars													
1	<input type="checkbox"/> Originals verified and Self-Attested Document copies received													
2	In-Person-Verification (IPV) details:													
	a)	Name of the person doing IPV												
	b)	Designation												
	c)	Name of Organization												
	d)	Signature												
	e)	Date						D	D	M	M	Y	Y	Y
Name & Signature of the Applicant											Seal/Stamp of the intermediary			
Date						D	D	M	M	Y				Y

**FORM 9****PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals) For Second Holder****Deutsche Bank AG.,** Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai – 400001

Please fill this form in ENGLISH and in BLOCK LETTERS

**A. IDENTITY DETAILS**

Photograph

Please affix your recent  
passport size photographSignature Across  
photograph

1	Name of the Applicant																									
2	Father's/Husband's Name																									
3	a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth	D	D	M	M	Y	Y	Y	Y													
4	a) Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify, _____)			a) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National																				
5	a) PAN													b) Aadhaar Number, if any												
6	Specify the proof of identity submitted				<input type="checkbox"/> PAN card <input type="checkbox"/> Any other (Please specify; _____)																					

**B. ADDRESS DETAILS**

1	Residence / Correspondence Address	<input type="checkbox"/> Correspondence Address				<input type="checkbox"/> Residence Address							
		<hr/> <hr/> <hr/>											
		City/Town/Village				PIN Code							
		State				Country							
2	Specify the proof of address submitted for Residence / correspondence address												
3	Contact Details	Tel. (Off.)						Tel. (Res.)					
		Fax No.						Mobile No.					
		Email ID											

I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).

4	<i>Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)</i>	<hr/> <hr/> <hr/>											
		City/Town/Village				PIN Code							
		State				Country							

**C. DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant	_____	Date	D	D	M	M	Y	Y	Y	Y
----------------------------	-------	------	---	---	---	---	---	---	---	---

FOR OFFICE USE ONLY														
Sr. No.	Particulars													
1	<input type="checkbox"/> Originals verified and Self-Attested Document copies received													
2	In-Person-Verification (IPV) details:													
	a)	Name of the person doing IPV												
	b)	Designation												
	c)	Name of Organization												
	d)	Signature												
	e)	Date						D	D	M	M	Y	Y	Y
Name & Signature of the Applicant										Seal/Stamp of the intermediary				
Date						D	D	M	M					Y

# FORM 9

## PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals) For Third Holder

**Deutsche Bank AG.,** Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai – 400001

Please fill this form in ENGLISH and in BLOCK LETTERS

### A. IDENTITY DETAILS

Photograph

Please affix your recent passport size photograph

Signature Across photograph

1	Name of the Applicant												
2	Father's/Husband's Name												
3	a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth	D	D	M	M	Y	Y	Y	Y
4	a) Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify, _____)	a) Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National									
5	a) PAN		b) Aadhaar Number, if any										
6	Specify the proof of identity submitted			<input type="checkbox"/> PAN card <input type="checkbox"/> Any other (Please specify; _____)									

### B. ADDRESS DETAILS

1	Residence / Correspondence Address	<input type="checkbox"/> Correspondence Address				<input type="checkbox"/> Residence Address			
		_____ _____ _____							
		City/Town/Village				PIN Code			
		State				Country			
2	Specify the proof of address submitted for Residence / correspondence address								
3	Contact Details	Tel. (Off.)				Tel. (Res.)			
		Fax No.				Mobile No.			
		Email ID							

I hereby declare that the aforesaid mobile number or E-mail ID belongs to ☐ Me or ☐ My family (spouse, dependent children and dependent parents).

4	Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)	_____ _____ _____							
		City/Town/Village				PIN Code			
		State				Country			

### C. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the Applicant \_\_\_\_\_ Date D D M M Y Y Y Y

FOR OFFICE USE ONLY														
Sr. No.	Particulars													
1	<input type="checkbox"/> Originals verified and Self-Attested Document copies received													
2	In-Person-Verification (IPV) details:													
	a)	Name of the person doing IPV												
	b)	Designation												
	c)	Name of Organization												
	d)	Signature												
	e)	Date						D	D	M	M	Y	Y	Y
Name & Signature of the Applicant _____											Seal/Stamp of the intermediary			
Date						D	D	M	M	Y				Y



**FORM 9**  
**PART II – ACCOUNT OPENING FORM**  
**(FOR INDIVIDUALS)**

<b>IN300167</b> <b>Deutsche Bank AG.,</b> Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai – 400001					<b>Client-ID</b> (To be filled by Participant)														
I/We request you to open a depository account in my/our name as per the following details: <i>(Please fill all the details in CAPITAL LETTERS only)</i>										<b>Date</b>		D	D	M	M	Y	Y	Y	Y
<b>A) Details of Account holder(s):</b>																			
Account holder(s)		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"/> Private Sector		<input type="checkbox"/> Agriculturist			<input type="checkbox"/> Private Sector		<input type="checkbox"/> Agriculturist					
		<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired			<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired			<input type="checkbox"/> Public Sector		<input type="checkbox"/> Retired					
		<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife			<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife			<input type="checkbox"/> Government Service		<input type="checkbox"/> Housewife					
		<input type="checkbox"/> Business		<input type="checkbox"/> Student			<input type="checkbox"/> Business		<input type="checkbox"/> Student			<input type="checkbox"/> Business		<input type="checkbox"/> Student					
		<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify) _____			<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify) _____			<input type="checkbox"/> Professional		<input type="checkbox"/> Others (Please specify) _____					
Brief details:																			
<b>B)</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 the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:																			
a) Name							b) PAN												
<b>C) Type of account</b>																			
<input type="checkbox"/> Ordinary Resident		<input type="checkbox"/> NRI-Repatriable					<input type="checkbox"/> NRI-Non Repatriable												
<input type="checkbox"/> Qualified Foreign Investor		<input type="checkbox"/> Foreign National																	
<input type="checkbox"/> Margin		<input type="checkbox"/> Others (Please specify) _____					<input type="checkbox"/> Promoter												
<b>D) Gross Annual Income Details</b>																			
Income Range per annum (please tick any one)																			
<input type="checkbox"/> Below ₹ 1 lac					<input type="checkbox"/> ₹ 1–5 lac					<input type="checkbox"/> ₹ 5–10 lac									
<input type="checkbox"/> ₹ 10–25 lac					<input type="checkbox"/> More than ₹ 25 lac														
<b>E) In case of NRIs/ Foreign Nationals</b>																			
RBI Approval Reference Number																			
RBI Approval date										D	D	M	M	Y	Y	Y	Y		
<b>F) Bank details</b>																			
1	Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																		
2	Bank Account Number																		
3	Bank Name																		

F) **Bank details**

4	Branch Address												
		City/Town/Village				PIN Code							
		State				Country							
5	MICR Code												
6	IFSC												

G) Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

H) **Standing Instructions**

1	I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
3	<b>SMS Alert facility:</b> <i>[Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYV Application Form]</i>			
	<b>Sr. No.</b>	<b>Holder</b>	<b>Yes</b>	<b>No</b>
	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
4	Mode of receiving Statement of Account <i>[Tick any one]</i>	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form <i>[Read Note 4 and ensure that email ID is provided in KYC Application Form].</i>		
5	Mode of receiving Rights and Obligations <i>[Tick any one]</i>	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form <i>[Read Note 4 and ensure that email ID is provided in KYC Application Form].</i>		

I) **Gaurdian Details** *(Where sole holder is a minor):*

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor *(to be signed by guardian)*]

Guardian Name

PAN

Relationship of guardian with minor

J) **Nomination Option**☐

I/We wish to make a nomination.

MWS/eSWSch/WWSf8AD? # O

☐

I/We do not wish to make a nomination.

**[Strike off the nomination details below]**

<b>Deutsche Bank AG,</b> Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai- 400001.		<b>FORM 10</b> <b>FORM FOR NOMINATION/ CANCELLATION OF NOMINATION (To be</b> <i>filled in by individual applying singly or jointly)</i>															<b>NSDL</b> Technology, Trust & Reach																				
Date		D	D	M	M	Y	Y	Y	Y	DP ID	I	N	3	0	0	1	6	7	Client ID																		
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]																																					
<input type="checkbox"/> I/We wish to cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/ us. [Strike off the nomination details below]																																					
<b>Nomination Details</b>																																					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.																																					
<b>Nomination can be made upto three nominees in the account.</b>										<b>Details of 1<sup>st</sup> Nominee</b>					<b>Details of 2<sup>nd</sup> Nominee</b>					<b>Details of 3<sup>rd</sup> Nominee</b>																	
<b>1</b>		<b>Name of the nominee(s) (Mr./Ms.)</b>																																			
<b>2</b>		<b>Share of each Nominee</b>		Equally <input type="checkbox"/> <small>[If not equally, please specify percentage]</small>						%					%					%																	
<b>3</b>		<b>Relationship With the Applicant ( If Any)</b>																																			
<b>4</b>		<b>Address of Nominee(s)</b>																																			
		PIN Code																																			
<b>5</b>		<b>Mobile/Telephone No. of nominee(s)</b>																																			
<b>6</b>		<b>Email ID of nominee(s)</b>																																			
<b>7</b>		<b>Nominee Identification details</b> –[Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																																			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																																					
<b>8</b>		<b>Date of Birth {in case of minor nominee(s)}</b>																																			
<b>9</b>		<b>Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }</b>																																			
<b>10</b>		<b>Address of Guardian(s)</b>																																			
		PIN Code																																			
<b>11</b>		<b>Mobile/Telephone no. of Guardian</b>																																			
<b>12</b>		<b>Email ID of Guardian</b>																																			
<b>13</b>		<b>Relationship of Guardian with nominee</b>																																			
<b>14</b>		<b>Guardian Identification details</b> –[Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																																			
<b>Name(s) of holder(s)</b>															<b>Signature(s) of holder</b>																						
Sole/ First Holder (Mr./Ms.)															X																						
Second Holder (Mr./Ms.)															X																						
Third Holder (Mr./Ms.)															X																						
<b>Signature of Witness for Nomination</b>																																					
<b>Name of the Witness</b>															<b>Address</b>										<b>Signature of witness</b>												
																									Date    D    D    M    M    Y    Y    Y    Y												

**Notes:**

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

**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".

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./ Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X

**Notes :**

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8<sup>th</sup> Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. 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.
4. Strike off whichever is not applicable.

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**Acknowledgement**

**Deutsche Bank AG.**, Depository Services, DB House, Hazarimal Somani Marg, Fort, Mumbai – 400001. DP ID IN300167

Received the application from Mr/Ms\_\_\_\_\_ as the sole/first holder alongwith  
\_\_\_\_\_ 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**



Initials

## Service Charges

Account Opening/Joining Fees	Nil (Stamp Paper Charges, as applicable)
Dematerialization	Rs 2.50/- per Certificate plus Rs 25/- courier charges or minimum Rs 50/-
Account Maintenance	Rs 500/- p.a.
Custody Charges	Nil
Transaction (Buy)	Nil
Transaction (Sell)	0.04% (Min. Rs 25)
Pledge Services*	0.03% of the value of transaction with minimum of Rs 50/- per request
Account Closing	Nil
Rematerialization	Rs 30/- per Certificate
Failed Instruction Charges	Rs 20/- per transaction
Late Instruction Charges#	0.20% of the Value of transaction with minimum of Rs 30/- per instruction
Other Charges, f any	Ad-hoc statement - Rs 100/- per statement.

- All rates are calculated on the market value.
- The above charges are exclusive of Tax, which will be as applicable.
- The above rates are subject to change with 30 days prior intimation.
- Annual Maintenance Charges are levied upfront for a period of one year at the beginning of the period, and shall be refunded for the balance quarters in the event of closing or shifting of the demat account from one participant to another.
- \*Pledge service will include individual pledge creation request, closure request, Pledge invocation receipt, Pledge invocation delivery favoring other counter parties only.
- All instructions for transfer must be received at the designated branches of the Bank at least 24 hours before the execution date.
- #All instruction received on the same day as the pay in date or received after 4.00 p.m for the same day execution will be treated as late instructions.
- There will be a charge of INR 100 for dishonor of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable for discontinuation, if Deutsche Bank is unable to recover charges from the customer for any reason whatsoever. In such cases there will be a charge of INR 350 for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Central Processing Office, Mumbai
- Any service that is not indicated above will be charged separately as per the rates applicable from time to time
- Reissuance of Booklet charges will be INR 50 per booklet containing 10 leaflets.

(Sole/First Holder)

(Second Holder)

(Third Holder)



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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. 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.
15. 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.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

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

Default in payment of charges

19. 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.
20. 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

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

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

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

Freezing/ Defreezing of accounts

22. 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.
23. 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

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

Authorized representative

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

Law and Jurisdiction

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

1) X

2) X

3) X

(for and on behalf of the Client)

X

Witness

Signed and delivered by

X

(for and on behalf of Deutsche Bank AG)

X

Witness



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

**General Clause**

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

**Beneficial Owner information**

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

**Fees/Charges/Tariff**

- 5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat accounts"*
- 6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
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**Dematerialization**

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

**Separate Accounts**

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

**Transfer of Securities**

- 11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
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- 13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
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- 18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

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- 20. 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.

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

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**Redressal of Investor grievance**

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

**Authorized representative**

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

**Law and Jurisdiction**

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

1) X \_\_\_\_\_  
2) X \_\_\_\_\_  
3) X \_\_\_\_\_  
(for and on behalf of the Client)

X \_\_\_\_\_  
Witness

Signed and delivered by  
X \_\_\_\_\_  
(for and on behalf of Deutsche Bank AG)

X \_\_\_\_\_  
Witness

