



SODHANI SECURITIES LIMITED



Member : National Stock Exchange of India Limited
 Participant : National Securities Depository Limited
 Address : 304, Samarpan, New Link Road, Chakala,
 Andheri (East), Mumbai 400 099.
 Phone : 022-2831 6600/2831 6601/ 2831 6602/ 2831 6603
 Fax : 022-2831 6605 E-mail : sodhani.vt@gmail.com

APPLICATION FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUALS ONLY)

For office use only

S. No.	<input type="text"/>	Date	<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Client Id (For office use)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	DP ID: IN300732
Name	<input type="text"/>					
KYC Number	<input type="text"/>					
Remarks	<input type="text"/>					

Checklist of Documents submitted for : [Tick as applicable]

A. Proof of Identity cum Residence	B. Proof of Identity	C. Proof of Residence
<input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Pan Card <input type="checkbox"/> Others	<input type="checkbox"/> Bank Statement/ Passbook (not more than 3 months old must contain complete address of client) <input type="checkbox"/> Resident Utility Bill (not more than 3 months old) <input type="checkbox"/> Registered Flat Sale / Lease / Leave & License Agreement <input type="checkbox"/> Ration Card <input type="checkbox"/> Others <u>PLEASE SPECIFY</u>
D. Bank Proof (First Holder Only)		E. Proof of Income (Any One)
<input type="checkbox"/> Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old) <input type="checkbox"/> Cancelled Personalised cheque leaf		<input type="checkbox"/> Copy of ITR Acknowledgement (Latest) <input type="checkbox"/> Net-worth certificate (not more than 1 year old)

IMPORTANT INSTRUCTIONS

- All details to be filled in Capital Block letters in Black / Blue Ink Only.
- Email ID & Mobile Number is mandatory.
- All Corrections in the form should be counter signed.
- Strike off whichever option is not applicable.
- All Originals to be produced for physical verification.
- Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.

NOTES

- All communication shall be sent at the address of the Sole/ First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8 th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- Instructions related to nomination, are as below:
 - 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.
 - 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.
 - 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.
 - 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.
 - Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
 - The cancellation of nomination can be made by individuals only holding beneficiary 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 account is held jointly, all joint holders will sign the cancellation form.
 - On cancellation of the nomination, the nomination shall stands rescinded and the depository shall not be under and obligation to transfer the securities in favour of the Nominee(s).
 - 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.
 - On request of Substitution of existing nominees by the beneficial owner, the earlier nomination stands 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.
 - 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.
 - Savings bank account details shall only be considered if the account is maintained with the same participant.
 - DP ID and client ID shall be provided where demat details is required to be provided.
- If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.
- 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 of mode of communication: if 'first holder' is selected, the communication will be sent as per the preference mentioned. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.

GENERAL TARIFF FOR BENEFICIARY ACCOUNT HOLDERS (INDIVIDUAL)

SERVICES	VISHESH	PROMOTER
ACCOUNT OPENING	NIL	NIL
ANNUAL MAINTAINANCE CHARGES	₹500/-	₹1500/-
MAINTAINANCE CHARGES (LIFE TIME - EXCLUDING NSDL CHARGES AS PER ACTUALS)	₹2500/-	₹10000/-
SECURITY DEPOSIT**	₹1000/-	₹2000/-

TRANSACTIONS (Per Trans.)		
DEMATERIALIZATION (Out-of-pocket Expenses (per request))	₹10/- per Cert. subject to min ₹100/-	₹10/- per Cert. subject to min ₹100/-
REMATERIALIZATION/REPURCHASE	₹25/- per 100 shares subject to min ₹50/-	₹25/- per 100 shares subject to min ₹50/-
MARKET SELL TRANSACTION (Inter DP)	0.04% sub to min ₹30.00	0.04% sub to min ₹30.00
MARKET SELL TRANSACTION (Intra DP)	₹15/-	₹15/-
OFF MARKET TRANSFER	0.04% sub to min ₹40.00	0.04% sub to min ₹40.00
INTER DEPOSITORY TRANSFER	0.04% sub to min ₹40.00	0.04% sub to min ₹40.00
PLEDGE CREATION/ CLOSURE /CONFIRMATION/ INVOCATION	0.04% sub to min ₹50.00	0.04% sub to min ₹50.00
SECURITIES LENDING /BORROWING/ RECALL/ REPAY	0.04% sub to min ₹50.00	0.04% sub to min ₹50.00

OTHER CHARGES		
LATE INTRUCTION CHARGES (ACCEPTANCE AT CLIENT'S RISK)*	₹25/-	₹25/-
INSTRUCTIONS SENT BY FAX (CONDITIONS APPLY)	₹5/-	₹5/-
CORPORATE ACTION (DEBITS)	₹10/-	₹10/-
CLIENT MASTER CHANGES REQUEST	₹100/-	₹100/-

NOTES

1. Statutory tax/ cess/ charges is payable as applicable.
2. *All market instructions for transfer must be received latest by 4.00 pm on the working day prior to the pay-in day as per SEBI issued guidelines.
3. All off-market instructions for transfer must be received at least 1 day before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility and will invite additional charges as specified in the table above.
4. For calculation of charges, value of transactions considered will be as per rates provided by NSDL.
5. Late Payment Charges 24% p.a. on the outstanding on due date calculated on daily basis.
6. **Security Deposit is refundable only upon closing the account and is not adjustable against monthly bills.

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name

	First / Sole Holder	Second Holder (if any)	Third Holder (if any)
Are you U.S. Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>
Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>	<input type="checkbox"/> India <input type="checkbox"/> Other <u>COUNTRY NAME</u>

Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS.

First Holder Signature

Second Holder Signature

Third Holder Signature



PART II – ACCOUNT OPENING FORM (FOR INDIVIDUALS)

Participant Name: Sodhani Securities Ltd.

DP ID: IN300732

Client - ID (To be filled by Participant) [Grid]

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

Date [DD] / [MM] / [YYYY]

TYPE OF ACCOUNT

- Ordinary Resident, NRI-Repatriable, NRI-Non Repatriable, Qualified Foreign Investor, Foreign National, Promoter, Margin, Others

DETAILS OF ACCOUNT HOLDER(S):

Table with columns: ACCOUNT HOLDER(S), SOLE / FIRST HOLDER, SECOND HOLDER, THIRD HOLDER. Rows: Name, PAN, CRN (For office use), SMS Alert facility.

IN CASE OF NRI(S) / FOREIGN NATIONAL(S)

RBI Approval Reference Number _____

RBI Approval Date [DD] / [MM] / [YYYY]

BANK DETAILS

Bank Account Type, Bank Account Number, Bank Name, Branch Address, IFSC Code, MICR

STANDING INSTRUCTIONS

- I/ We authorise you to receive credits automatically into my/ our account. Account to be operated through Power of Attorney (PoA) / Demat Debit and Pledge instruction (DDPI). Mode of operation: Jointly, Anyone of the holders or survivor.

GUARDIAN DETAILS (where sole holder is a minor):

Guardian Name, PAN, Relationship of guardian with minor

NOMINATION OPTION

I/ We wish to make a nomination [Details are provided in FORM 10] I/ We wish to OPT OUT of NOMINATION [OPT-OUT FORM ENCLOSED]

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.

Table with columns: NAME(S) OF HOLDER(S), SPECIMEN SIGNATURE(S) (Use black ink). Rows: Sole/ First Holder/ Guardian, Second Holder, Third Holder.

FOR OFFICE USE ONLY

Client Id (For office use)

--	--	--	--	--	--	--	--

Branch _____	Group _____	Family Group _____
Billing Details Scheme _____ Deposit _____ Other Charges _____		Reports _____ Remarks _____
High Risk Client	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____ <small>IF YES, PLEASE SPECIFY</small>
Client of Special Category	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____ <small>IF YES, PLEASE SPECIFY</small>

I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In Person Verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company Policies, in the event if false declaration to this effect.

I hereby declare that I have made the client aware of "Policy & Procedures", Tariff Sheet, 'Rights & Obligations', RDD, Guidance Note and all the non-mandatory documents.

Details of Employee/ Authorized Signatory	In-Person Verified By	Captured By	Verified By	KYC / C-KYC Uploaded / Fetched / Modified KYC / C-KYC Reference Number
Name				
Date				
Signature				