Form No.

DEMAT Account Opening Form

Client Type	☐ IDBI Bank Client	☐ Other Bank Alliance Client	
Account Type	☐ Online Account	☐ Offline Account	
Client's Risk Assessment Profile	☐ Low	☐ Medium	☐ High

Mr. / Ms.

Client Code No.

Demat Account No.

CKYC No.

Margin/Account opening payment details

Bank Name		Drawn On	
Account No.		Date of cheque Deposit	
CMS Deposit Slip No.			

Source/FOS/Agent/Business Associate Code	
FOS/Agent/BA Name	
Relationship Manager Name	
Relationship Manager Employee Code	

VERSION – 1.0 - March - 2026

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent.
2	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.
3	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for including tariff for DP Services.
4	FATCA	Information required from Client pursuant to 1 GA signed by government of India to implement FATCA and under common reporting standards of G20

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

1	Demat debit and pledge instructions	Execution of Demat Debit and Pledge Instruction (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities

IDBI Capital Markets & Securities Limited

SEBI Registration No		Registered / Correspondence Office Address
CDSL/NSDL	IN-DP-676 - 2022	6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai - 400005. Tel : 022 40691700 Website: www.idbicapital.com Trading Portal: www.idbidirect.in

In case not satisfied with response, please contact the concerned Depository

Depository	EMAIL ID	Telephone Number
NSDL	relations@nsdl.co.in	1800222990
CDSL	complaints@cdslindia.com	18002109911

For any Grievance/Dispute please contact IDBI Capital Markets & Securities Ltd. at 6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai 400 005. Telephone : 022 3913 5001, Email ID : redressal@idbicapital.com

	Name	Telephone	EMAIL ID
MD & CEO	Mr. Raj Kishor singh	022 40691700	md@idbicapital.com
Compliance Officer	Mr. Pushkar Balkrishna Vartak	022 40691700	compliance@idbicapital.com

You can also lodge your grievances with SEBI at https://scores.sebi.gov.in for any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800 22 7575 / 1800 266 7575

Filing of complaints on SCORES Easy & Quick
A. Register on SCORES portal
B. Mandatory details for filing complaints on SCORES: 1. Name, PAN, Address, Mobile Number, Email ID
C. Benefits: 1. Effective communication 2. Speedy redressal of the grievances SCORES website (https://scores.sebi.gov.in)

IMPORTANT INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
2. Email ID & Mobile number is mandatory for account related passwords and transaction details.
3. Corrections in the KYC form should be counter signed. Do not use whitener anywhere in the form.
4. Strike off whichever option in the account opening form is not applicable.
5. All Originals to be produced for physical verification.
6. Name & address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
7. If correspondence & permanent address are different, then proofs for both have to be submitted.
8. NRI resident of United States of America are not permitted to open a trading account.

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE - COPIES OF ALL DOCUMENTS SHOULD BE SELF ATTESTED)

Important Points	1. Self attested copy of PAN card is mandatory
	2. One colored front face photo (passport size)
	3. Any POI or POA is in regional language, then translation into English is required
	4. Sole proprietor must make the application in his individual name & capacity
Proof of Identity (POI) (Any One)	1. Unique identification number (UID) (Aadhaar)
	2. Valid Passport (Name, Address & Photo page)
	3. Voter ID (front and back)
	4. Valid Driving License (Name, Address & Photo page)
	5. PAN Card
	6. Other (Pls. Specify) _____
Proof of Address (POA) (Any One) Permanent / Correspondence	1. Valid Passport (Name, Address & Photo page)
	2. Voter ID (front and back)
	3. Valid Driving License (Name, Address & Photo page)
	4. Unique identification number (UID) (Aadhaar)
	5. Electricity Bill (not more than 2 months old)
	6. Resident Landline Tel. Bill (not more than 2 months old)
	7. Registered Flat Sale Agreement of Residence
	8. Registered Lease/Leave & License Agreement
	9. Ration Card
	10. Other (Pls. Specify) ____
Bank Proof With MICR / IFSC Code (First Holder Only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)
	3. Original Cancelled Personalized Cheque leaf

FIRST HOLDER

IDBI Capital Markets & Securities Ltd.

1 - PART - A

* K Y C *

CVL

KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

Application No. :

A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME	
2. Maiden Name	FOR MARRIED WOMEN ONLY			
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME	
4. Mother Name				
5. a. Gender	☐ Male ☐ Female ☐ Transgender			
b. Date of birth	DD / MM / YYYY	c. Marital Status	☐ Single ☐ Married ☐ Others	
6. Nationality	☐ Indian ☐ Other Please specify,	7. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National	FH 1/12
8. PAN		FORM - 60		

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)					
City/Town/Village			District		
Pin Code		State		Country	
2.Contact/Mobile No			Tel (Res.)		
Tel (Off.)			Email id		

3.Specify the proof of address submitted for Residence / Permanent Address:

4.Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)					
City/Town/Village			District		
Pin Code		State		Country	

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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant	2/12
Date	DD / MM / YYYY		

FOR OFFICE USE ONLY

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.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by
Name & E Code		
Designation		
Date	DD / MM / YYYY	DD / MM / YYYY
Signature		

Ltd. IDBI Capital Markets & Securities

UCC Code allotted to the Client

Signature of Authorised Signatory

SECOND HOLDER

IDBI Capital Markets & Securities Ltd.

1 - PART - A

* K Y C *

CVL

KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

Application No. :

A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME	
2. Maiden Name	FOR MARRIED WOMEN ONLY			
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME	
4. Mother Name				
5. a. Gender	☐ Male ☐ Female ☐ Transgender			
b. Date of birth	DD / MM / YYYY	c. Marital Status	☐ Single ☐ Married ☐ Others	
6. Nationality	☐ Indian ☐ Other	7. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National	SH 1/12
	Please specify,			
8. PAN		FORM - 60		

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)				
City/Town/Village		District		
Pin Code		State		Country
2.Contact/Mobile No		Tel (Res.)		
Tel (Off.)		Email id		

3.Specify the proof of address submitted for Residence / Permanent Address:

4.Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)				
City/Town/Village		District		
Pin Code		State		Country

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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant	2/12
Date	DD / MM / YYYY		

FOR OFFICE USE ONLY

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.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by
Name & E Code		
Designation		
Date	DD / MM / YYYY	DD / MM / YYYY
Signature		

IDBI Capital Markets & Securities Ltd.

UCC Code allotted to the Client _____

Signature of Authorised Signatory

THIRD HOLDER

IDBI Capital Markets & Securities Ltd.

1 - PART - A

* K Y C *

CVL

KNOW YOUR CLIENT (KYC) | APPLICATION FORM (FOR INDIVIDUALS ONLY)

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options

Application No. :

A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME	
2. Maiden Name	FOR MARRIED WOMEN ONLY			
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME	
4. Mother Name				
5. a. Gender	☐ Male ☐ Female ☐ Transgender			
b. Date of birth	DD / MM / YYYY	c. Marital Status	☐ Single ☐ Married ☐ Others	
6. Nationality	☐ Indian ☐ Other Please specify,	7. Status	☐ Resident Individual ☐ Non Resident ☐ Foreign National	TH 1/12
8. PAN		FORM - 60		

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)					
City/Town/Village			District		
Pin Code		State		Country	
2.Contact/Mobile No			Tel (Res.)		
Tel (Off.)			Email id		

3.Specify the proof of address submitted for Residence / Permanent Address:

4.Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)					
City/Town/Village			District		
Pin Code		State		Country	

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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant	2/12
Date	DD / MM / YYYY		

FOR OFFICE USE ONLY

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.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by
Name & E Code		
Designation		
Date	DD / MM / YYYY	DD / MM / YYYY
Signature		

IDBI Capital Markets & Securities Ltd.

UCC Code allotted to the Client _____

Signature of Authorised Signatory

1 - PART - B

A.DETAILS OF ACCOUNTHOLDER(S)

Account holder(s)	Sole / First Holder		Second Holder		Third Holder	
Name						
Occupation	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Forex Dealer	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student Others ☐ (Please specify; _____	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Forex Dealer	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student Others ☐ (Please specify; _____	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Forex Dealer	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student Others (Please specify; _____

B.TYPE OF ACCOUNT

☐ Ordinary Resident ☐ NRI-Repatriable ☐ Foreign National ☐ NRI-Non Repatriable ☐ Promoter

☐ Qualified Foreign Investor ☐ Margin ☐ Others (Please specify)_____

C. IN CASE OF NRIs/ FOREIGN NATIONALS

RBI Approval Reference Number		RBI Approval date	DD / MM / YYYY

D. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR PAYOUT OF FUNDS)

	Bank 1 Details	Bank 2 Details (Additional Bank Details)
Bank Name		
Bank Address		
Account No.		
City/Town /Pincode		
Account Type	Savings/Current/Others in case of NRE/NRO	Savings/Current/Others in case of NRE/NRO
MICR Code		
IFSC Code		
UPI Code		

E. DEPOSITORY ACCOUNT DETAILS

	DP 1 Details	DP 2 Details	DP 3 Details
Depository	☐ CDSL ☐ NSDL	☐ CDSL ☐ NSDL	☐ CDSL ☐ NSDL
DP Name			
Client Name			
DP ID	☐ 13028600 ☐ IN300079	☐ 13028600 ☐ IN300079	☐ 13028600 ☐ IN300079
BO ID			

F. INFORMATIONFOR PREVENTION OF MONEYLAUNDERINGACT, 2002

Gross Annual Income	☐ Below 1lac ☐ 1 5 Lacs ☐ 5 10 Lacs ☐ 10 25 Lacs ☐ >25Lacs Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY
Is the Client Politically Exposed Person (PEP) or Related to a PEP	☐ Yes ☐ No

G. INVESTMENT / TRADING EXPERIENCE

Numberof years of investment ☐☐ Years

H . EDUCATIONAL QUALIFICATION

☐ UNDER GRADUATE ☐ GRADUATE ☐ POST GRADUATE ☐ PROFESSIONAL ☐ Others _____ (Please Specify)

I. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Security Exchange / any other authority against the client during the last 3 years:

☐ No ☐ Yes If yes, please specify

J.INTRODUCER

Status of Introducer ☐ Employee ☐ Existing Client ☐ Others (Specify):

Introducer Name: Emp/ClientCode:

Address:

MobileNo: Signatureof the Introducer

Delivery Instruction Slip (DIS)

To,
IDBI Capital Markets & Securities Ltd.
NSDL:- IN300079 / CDSL DP ID: 13028600
6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai 400 005

With reference to my /our application for opening a depositary account, I request you to refer the receive Delivery Instruction Slip details:

Receive Delivery Instruction Slip	☐ I/Wewish to receive the Delivery Instruction Slip (DIS) booklet with account opening. ☐ I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.

* [Mandatory if you are giving Debit Delivery Pledge Instruction (DDPI), ensure that the mobile number is provided the KYC Application Form]

* [To be filled by person seeking to open Demat Account who has given DDPI to operate Demat Account to Stock Broker/ DP/ Port Folio manager]. By default DIS will be given to person who has not opted for DDPI.

K. GST REGISTRATION DETAILS (IF AVAILABLE)

Registration No :	Name of the State :

GUARDIAN DETAILS (WHERE SOLE HOLDER IS 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 Card	
Relationship of guardian with minor			
Address:			
		Mobile	

NOMINATION OPTION

☐ I/We wish to make a nomination
[Details are provided in Nomination Form Prescribed by SEBI]

☐ I/We wish to opt out of nomination
Declaration Form opting out of nomination as prescribed by SEBI]

MODE OF OPERATIONS FOR JOINT ACCOUNTS

☐ Jointly ☐ Anyone of the holder or survivor(s)

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.

OTHER INSTRUCTION:

- **I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') [Automatic Credit] ☐ Yes ☐ No**
- **I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')**
  ☐ Yes ☐ No
- **Account Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly**
- **I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID ☐ Yes ☐ No**
- **I / We would like to share the email ID with the RTA ☐ Yes ☐ NO**
- **I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic.**
  (Tick the applicable box. If not marked the default option would be in Physical)
- **I / We wish to receive dividend / interest directly in to my bank account as given below through ECS**
  (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]
  ☐ Yes ☐ No
- **Consent for Communication to be received by first account holder/ all Account holders: (Tick the applicable box. If not marked the default option would be first holder. ☐ first Holder ☐ Second Holder ☐ Third Holder ☐ All Holder (Email id for communication required)**

DECLARATION

1. 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.

2. 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 un true or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.

3. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.

4. I/We further confirm having read & understood the contents of the 'Rights & Obligations' document(s) & Do's & Don'ts - Guidance note. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on member's designated website i.e www.idbicapital.com, for the information of the clients.

Notes:

1. **All communication shall be sent at the address of the Sole/First holder only.**
2. **Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate**
3. **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.**
4. **The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.**
5. **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.**
6. **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.**
7. **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**
8. **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.**
9. **Strike off whichever is not applicable.**

FH 3/12	SH 3/12	TH 3/12
(First/Sole Holder Signature)	(Second Holder Signature)	(Third Holder Signature)

FOR OFFICE USE ONLY

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 Tariff sheet, Rights & Obligations, Guidance Note and all the non-mandatory documents. Any change in the Rights & Obligations and Guidance Note would be made available on our website www.idbicapital.com for the information of the clients.

Details of Employee	Documents verified with Originals	Client Interviewed By & In-Person Verification done by	
Name & E Code			IDBI Capital Markets & Securities Ltd.
Designation			
Date			
Signature			

Nomination Form

[Mandatory Nomination for Eligible Trading and Demat Accounts]

IDBI Capital Markets & Securities Ltd., 5th & 6th Foor, IDBI Tower, Cuffe Parade, Mumbai – 400 005	**FORM FOR NOMINATION** (*To be filled in by individual applying singly or jointly*)

Date	D D M M Y Y Y Y	DP ID	I N	Client ID	
UCC / (10 digit) Trading client code					

I/We wish to make a nomination. [*As per details given below*]

Nomination Details

I want the following nomination details to be printed in the account / holding statements (tick one of the boxes below):
☐ Name of the Nominee(s)
☐ Whether nomination given: Yes / No (not name of the nominee)

	Nomination can be made upto three nominees in the account.		**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	**Name of the nominee(s) (Mr./Ms.)**				
2	**Share of each Nominee**	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	**Relationship With the Applicant (If Any)**				
4	**Address of Nominee(s)** City / Place: State & Country:				
		PIN Code			
5	**Mobile / Telephone No. of nominee(s)**				
6	**Email ID of nominee(s)**				
7	**Nominee Identification details –** [Please tick any one of following and provide details of same] ☐ Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID				
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:					
8	**Date of Birth {in case of minor nominee(s)}**				
9	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }**				
10	**Address of Guardian(s)**				

	City / Place: State & Country:							
		PIN Code						
11	**Mobile / Telephone no. of Guardian**							
12	**Email ID of Guardian**							
13	**Relationship of Guardian with nominee**							
14	**Guardian Identification details –** [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID							

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

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

Note:

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
**Any odd lot after division shall be transferred to the first nominee mentioned in the form.
*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor
****If nomination is submitted:
• Online: validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
• Physical / offline: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Declaration Form for opting out of nomination

[Mandatory Nomination for Eligible Trading and Demat Accounts]

To **IDBI Capital Markets & Securities Ltd.** **5th & 6th Floor, IDBI Tower,** **Cuffe Parade, Mumbai -400 005**	Date	D	D	M	M	Y	Y	Y	Y

UCC / (10 digit) Trading Client Code										
DP ID	I	N								
Client ID (only for Demat account)										
Sole/First Holder Name										
Second Holder Name										
Third Holder Name										

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account at this point of time.

I understand that –

(i) The nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) In the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) If no claim is made on the demat account for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regula tory framework.

I / we confirm that I / we have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder(s)*

1._____ **2.**_____ **3**_____

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

GUIDANCE NOTE – DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on websites or Exchange(s) at www.nseindia.com, www.bseindia.com, www.cdslindia.com, www.nsdl.com and SEBI website: www.sebi.gov.in
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the Stock Broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Stock Broker. Note that the clauses as agreed between you and Stock Broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/ Exchange(s).
6. Obtain a copy of all the documents executed by you from the Stock Broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock Broker, authorizing to operate your Bank and Demat account, please refer to the guidelines issued by SEBI/Exchange(s) in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The Stock Broker may issue electronic contract note (ECN) if specifically authorized by you in writing. You should provide your email id to the Stock Broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the Stock Broker.
11. Make the payment by account payee cheque in favour of the Stock Broker.
    Note that facility of Trade Verification is available on stock exchanges websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the investors grievance Cell of the relevant Exchange(s).
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day/24 hours from the receipt of payout from the Exchange(s). Thus, the Stock Broker shall maintain running account for you subject to the following conditions:
    (a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
    (b) The actual settlement of funds and securities shall be done by the Stock Broker, at least once in a calendar quarter or month, depending on your preference. while settling the account, the Stock Broker shall send to you a 'statement of account' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged securities, if any.
    (c) On the date of settlement, the Stock Broker may retain the requisite securities/funds towards outstanding obligations and may also retain the fund expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchange(s). In respect of cash market transactions, the Stock Broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/ securities/ margin to the extent of value of transactions executed on the day of such settlement in the cash market.
    You need to bring any dispute arising from the statement of account or settlement so made to the notice of the Stock Broker in writing preferably within 7 (seven) working days from the date of receipt of funds/ securities or statement, as the case may be. In case of dispute, refer the matter in writing to the investors Grievance Cell of the relevant Exchange(s) without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/ securities in not received on the next working day of the receipt of payout from the exchange(s), please refer the matter to the Stock Broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the investors Grievance Cell of the relevant Exchange(s).
15. Please register your Mobile number and email id with Stock Broker, to receive trade confirmation alerts/ details of the transaction through SMS or email, by the end of the trading day, from the Exchange(s).

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a Stock Broker surrenders his membership, or is expelled from membership or declared a defaulter; Exchange(s) give a public notice inviting claims relating to only the "transaction executed on the trading system" of Exchange(s), from the investors. Ensure that you lodge a claim with the relevant Exchange(s) within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your Stock Broker, particularly in the event of a default or the Stock Broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations/Business Rules of the relevant Exchange(s) where the trade was executed and scheme of the investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

13. Please note that the details of the arbitration proceedings, penal action against the Stock Broker and investor complaints against the Stock Broker are displayed on the website of the relevant Exchange(s).

14. In case your issue/problem/grievance is not being sorted out by concerned Stock Broker then you may take up the matter with the concerned Exchange(s). if you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

15. Note that all the Stock Broker have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints

DEPOSITORY FEE STRUCTURE (With Effect from July 01 2025)

Nature of Service	DP charges
Annual Maintenance Charges	AMC Rs.350/-
Basic Service Demat Account "BSDA"	• Up to Rs.400,000/- Nil AMC • More than Rs.400,000/- but up to Rs.10,00,000/- is Rs.100/- • More than Rs.10,00,000/- Normal AMC
Transaction charges for DP–Debit Transaction(For Online as well as Offline Clients)	Rs.25/- per script "NSDL Charges Rs. 4/-
Market/Off-market/Inter-depository – Debit Transaction (Physical DIS submitted to IDBI Capital)	Rs.30/- or 0.04% of Market Value whichever is higher (Maximum Rs.500/- per scrip) (NSDL Charges Rs.4/-)
Dematerialization	Rs. 10 per Certificate
Postage for Dematerialization	Rs. 100/- per Demat Request
Dematerialization	Rs. 50/- per Remat Request (NSDL Charges Rs.10/-per Certificate)
Mutual Fund Redemption	Rs.25/- per request (NSDL charges Rs.4.50)
Conversion/Reconversion of mutual fund units in to SOA	Rs.25/- per request (NSDL charges Rs.10/- per request)
Pledge Creation	Rs.45/- per transaction (NSDL charges Rs.25/-)
Margin pledge Initiation from client account to TM	Rs.45/- per transaction (NSDL charges Rs.25/-)
Pledge Closure	Rs.45/- per transaction (NSDL charges Rs.5/-)
Pledge Invocation	Rs.45/- per transaction
Non-Periodic Transaction Statement/Holding Statement	Rs. 25/- per request

Common Clauses:

1. Govt. tax and other statutory charges if applicable will be levied separately.
2. Charges/Service standards are subject to revision at IDBI Capital's sole discretion and as informed by circulars sent by ordinary post. (which will be intimated to the client 30days prior to the date of effect) .
3. Transactions charges will be payable monthly. Charges quoted above are for the services listed above. Any service not quoted above will be charged separately.
4. In case of non-payment or delay in payment of the charges in time, IDBI Capital reserves the rights to close or discontinue the depository services for the account.
5. All the holders must sign operating instructions for the joint accounts.
6. IDBI Capital must receive all instructions for transfer at least one day prior to the pay-in date latest by 4.00PM.
7. Late instructions for transfer will be executed at the account holder's own risk on best effort basis

Notes:

1. Minimum brokerage/charges for scrips priced upto Rs 10/- : Rs. 0.04 per share.
2. Minimum brokerage/charges Rs. 25/- per exchange per segment

   *Subject to maximum brokerage limits specified by SEBI from time to time
3. Service Tax, STT, Stamp Duty and other Statutory/Exchange charges, as applicable, will be charged in addition to the brokerage rates mentioned above.
4. IDBI Capital Markets & Securities Limited reserves the rights to withdraw/modify the plan at its sole discretion with 15 days prior notice published on our website.
5. KRA Charges : Rs.100 + Taxes
6. Service tax and other statutory charges if applicable will be levied separately.
7. Charges/Service standards are subject to revision at IDBI Capital's sole discretion and as informed by circulars sent by ordinary post. (which will be intimated to the client 30days prior to the date of effect)

8. Transactions charges will be payable monthly. Charges quoted above are for the services listed above. Any service not quoted above will be charged separately.

9. In case of non-payment or delay in payment of the charges in time, IDBI Capital reserves the rights to close or discontinue the Depository services for the account.

10. All the holders must sign operating instructions for the joint accounts.

11. IDBI Capital must receive all instructions for transfer at least one day prior to the pay-in date latest by 4.00 PM.

12. Late instructions for transfer will be executed at the account holder's own risk on best effort basis.

13. In order to settle the dues in time, we have organized for ECS debit facility where your bill amounts would be directly debited from your bank account. ECS mandate forms may therefore be submitted to enable us to serve you better and avoid unnecessary reminders being issued. Kindly ignore if the same has been already submitted.

14. Clients must ensure that the instruction booklets issued to them are pre stamped with the client ID.

15. Please ensure that the securities are available in demat mode before submitting a dematerialization request form (DRF). The physical certificates submitted along with the DRF must be defaced with the words "Surrendered for Dematerialization".

Confirmation with regard to KRA

☐ I wish to register with KRA (One time charge, payable at the time of Account Opening).

☐ I Do not wish to register with KRA as I am already registered with KRA agency & if this information is found incorrect, I authorize IDBI Capital to debit Rs.100/- from my account towards KRA charges.(KRA Registered Copy of acknowledgement to be submitted)

I/We wish to avail the abovementioned Tariff Plan. I/We have understood the Plan details and the Terms & Conditions and accept the same.

FH 6/12 (First/Sole Holder Signature)

SH 6/12 (Second Holder Signature)

TH 6/12 (Third Holder Signature)

Date: DD / MM / YYYY

Place :

EOF

PART I - FATCA / CRS DECLARATION FORM FOR INDIVIDUAL

FIRST / SOLE APPLICANT / GUARDIAN

Name									
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name									
Cust ID/ Folio No.									

Address of tax residence would be taken as available in KRA database. In case of any change pleas approach KRA & notify the changes

Type of address given at KRA	☐ Residential or Business	☐ Residential	☐ Business	☐ Registered Office
Permissible documents are	☐ Passport ☐ Election ID Card ☐ PAN Card ☐ Govt. ID Card ☐ Driving license ☐ UIDAI Card ☐ NREGA Job Card ☐ Others			
Date of Birth		Place of Birth		
Nationality				

Are you a tax resident of any country other tahn India ? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Numer below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

* To also include USA, where the individua is a citizen/ green card holder of the USA

% In case tax identification Number is not available, kindly provide its functional equivalent $

SECOND APPLICANT

Name									
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name									
Cust ID/ Folio No.									

Address of tax residence would be taken as available in KRA database. In case of any change pleas approach KRA & notify the changes

Type of address given at KRA	☐ Residential or Business	☐ Residential	☐ Business	☐ Registered Office
Permissible documents are	☐ Passport ☐ Election ID Card ☐ PAN Card ☐ Govt. ID Card ☐ Driving license ☐ UIDAI Card ☐ NREGA Job Card ☐ Others			
Date of Birth		Place of Birth		
Nationality				

Are you a tax resident of any country other tahn India ? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Number below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

* To also include USA, where the individua is a citizen/ green card holder of the USA

% In case tax identification Number is not available, kindly provide its functional equivalent $

THIRD APPLICANT

Name									
Gender	M	F	O		PAN		Occupation Type	Service	Business	Other
Father's Name									
Cust ID/ Folio No.									

Address of tax residence would be taken as available in KRA database. In case of any change pleas approach KRA & notify the changes

Type of address given at KRA	☐ Residential or Business	☐ Residential	☐ Business	☐ Registered Office
Permissible documents are	☐ Passport ☐ Election ID Card ☐ PAN Card ☐ Govt. ID Card ☐ Driving license ☐ UIDAI Card ☐ NREGA Job Card ☐ Others			
Date of Birth		Place of Birth		
Nationality				

Are you a tax resident of any country other tahn India ? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated tax ID Numer below.

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

*** To also include USA, where the individua is a citizen/ green card holder of the USA**
% In case tax identification Number is not available, kindly provide its functional equivalent $

CERTIFICATION

I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us in this Form is true, correct, and complete. I / We also confirm that I/ We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

FH 7/11

(First/Sole Holder Signature)

SH 7/11

(Second Holder Signature)

TH 7/11

(Third Holder Signature)

Date : _____

Place : _____

FATCA & CRS TERMS & CONDITIONS

Details under FATCA & CRS :

The central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian Financial Institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders.in relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

NOTE : **FOR MORE DETAILS ON FATCA/CRS DECLARATION REFER TO WEBSITE** : **www.idbicapital.com**

Demat Debit and Pledge Instruction (DDPI)	Date D D M M Y Y Y Y
I/We hereby give Demat Debit and Pledge Instruction to IDBI Capital Markets & Securities Ltd (ICMS) for my/our demat accounts mentioned below:	
Demat account of the client for which this DDPI is given	
Demat account to be opened through Application / Form No:	

Client ID -		with DP ID -	PAN –
First Account holder Name Demat			
Second Account holder Name Demat			
Third Account holder Name Demat			

Details of Demat accounts of IDBI Capital Markets & Securities Ltd (ICMS) where securities can be transferred and/or pledged using below mentioned DDPI are provided under Schedule I.

S. No.	Purpose	Signature of Client*		
		First Holder	Second Holder	Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	8/12	8/12	8/12
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	9/12	9/12	9/12
3.	Mutual Fund transactions being executed on stock exchange order entry platforms and which shall be in compliance with SEBI circulars.	10/12	10/12	10/12
4.	Tendering shares in open offers which shall be in compliance with SEBI circular.	11/12	11/12	11/12

* the same may be e Signed or signed physically

Schedule I:

Demat accounts where securities can be transferred / pledged /Mutual Fund transactions Tendering shares in open offers.

Note : ICMS-IDBI Capital Markets & Securities Ltd. ;
NSDL – National Securities Depository Ltd ; CDSL – Central Depository Services Ltd

CM BP ID	CM NAME
NSE – IN503854	IDBI CAPITAL MARKETS & SECURITIES LTD
BSE – IN600846	IDBI CAPITAL MARKETS & SECURITIES LTD

Annexure – 1 Demat Account Details			
Sr. No.	Name of the Account Holder	DP Id	Client Id
1	IDBI Capital Markets & Securities Limited - CLIENT COLLATERAL A/C	IN300079	10813540
2	IDBI Capital Markets & Securities Ltd. - CLIENT SECURITIES UNDER MARGIN FUNDING ACCOUNT	IN300079	10868858
3	IDBI CAPITAL MARKETS & SECURITIES LTD - CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT	IN300079	11144325
4	IDBI Capital Markets & Securities Ltd. - CLIENT MARGIN TRADING SECURITIES A/C	IN300079	10813558
5	IDBI Capital Markets & Securities Ltd. - CLIENT ACCOUNT	IN300079	10028163
6	IDBI Capital Markets & Securities Ltd. CLIENT UNPAID SECURITIES A/c	IN300079	10812926
7	IDBI Capital Markets & Securities Ltd. POOL ACCOUNT	IN300079	10000004
8	IDBI Capital Markets & Securities Ltd. POOL ACCOUNT	IN300079	10008130
9	IDBI Capital Markets & Securities Ltd. - CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	IN300079	10868840

Annexure – 2 - List of Demat Account of Clients			
Sr. No.	Name of the Account Holder	DP Id	Client Id

☐	We accept IDBI Capital Markets & Securities Ltd (Stock Broker)	
First holder 12 /12	Second holder 12/12	Third holder 12/12

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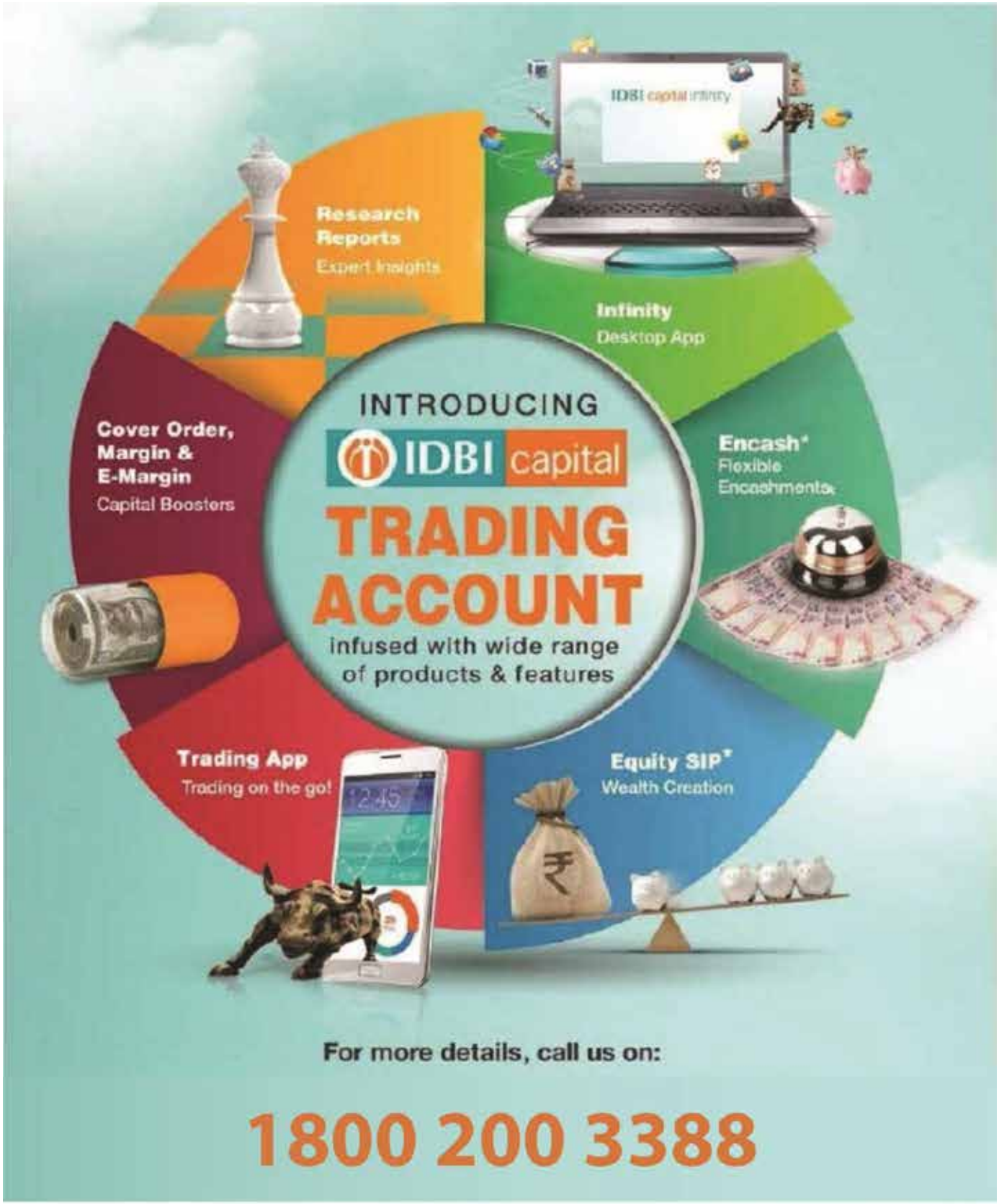

SEBI Regn. No. Common Registration no. of NSE & BSE - INZ000007237

NSDL / CDSL Registration No.: IN-DP-676-2022

CIN number U65990MH1993GOI075578

Information and documents sought herein are required under 'Know Your Client' rules of SEBI, Depository and the Stock Exchanges