

**INDIABULLS SECURITIES LIMITED**

**Correspondence Address:** 12th Floor, Tower - A, Building No. C-5, DLF Cyber City, DLF Phase-3, Gurgaon - 122002.  
 Tel.: (0124) 3834500, Fax: (0124) 3834501  
 Client Helpline: 0124 4572444, Fax: 0124 6681111, E-mail: helpdesk@indiabulls.com, Website: www.indiabulls.com  
**Regd. Office :** M 62 & 63, First Floor, Connaught Place, New Delhi - 110001. Tel.: 011 30252900, Fax: 011 30252901

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it



Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink.

**A. IDENTITY DETAILS (please see guidelines overleaf)**

Name of the applicant (As appearing in supporting identification document)

<b>Name</b>															
<b>Father's / Spouse Name</b>															
<b>Gender</b>		<input type="checkbox"/> Male <input type="checkbox"/> Female				<b>Marital Status</b>		<input type="checkbox"/> Single <input type="checkbox"/> Married							
<b>Date of Birth</b>		D	D	M	M	Y	Y	Y	Y	<b>Nationality</b>		<input type="checkbox"/> Indian <input type="checkbox"/> Other _____			
<b>Status</b> Please tick (✓)		<input type="checkbox"/> Resident Individual				<input type="checkbox"/> Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)									
		<input type="checkbox"/> Non Resident													
<b>PAN</b>												Please enclose a duly attested copy of your PAN Card			
<b>Unique Identification Number (UID)/Aadhaar, if any</b>															
<b>Proof of Identity submitted for PAN exempt cases</b> Please tick (✓)		<input type="checkbox"/> UID (Aadhaar)				<input type="checkbox"/> Passport				<input type="checkbox"/> Voter ID				(Please see guidelines 'D' overleaf)	
		<input type="checkbox"/> Driving Licence				<input type="checkbox"/> Others _____									

**B. ADDRESS DETAILS (please see guidelines overleaf)**

<b>Address For Correspondence</b>											
										<b>City/Town/Village</b>	
<b>State</b>				<b>Country</b>				<b>PIN Code</b>			

**Contact Details**

Tel. (Off)	ISD	STD											Tel. (Res.)	ISD	STD										
Mobile	ISD	STD											FAX	ISD	STD										
E-mail ID																									

**Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**

- Passport  Ration Card  Registered Lease/Sale Agreement of Residence  Driving License
- Voter Identity Card  \* Latest Bank A/c Statement/Passbook  \* Latest Telephone Bill (only Land Line)
- \* Latest Electricity Bill  \* Latest Gas Bill  Others \_\_\_\_\_

\* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** D D M M Y Y Y Y

<b>Permanent Address of Resident Applicant</b> if different from Correspondence Address OR Overseas Address (Mandatory) for Non-Resident Applicant											
										<b>City/Town/Village</b>	
<b>State</b>				<b>Country</b>				<b>PIN Code</b>			

**Signature**



**Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick ( ✓ ) against the document attached.**

- Passport  
 Ration Card  
 Registered Lease/Sale Agreement of Residence  
 Driving License  
 Voter Identity Card  
 \* Latest Bank A/c Statement/Passbook  
 \* Latest Telephone Bill (only Land Line)  
 \* Latest Electricity Bill  
 \* Latest Gas Bill  
 Others \_\_\_\_\_

\* Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

D	D	M	M	Y	Y	Y	Y
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**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

	<b>Signature of the Applicant</b>
<b>Signature</b>	

Place \_\_\_\_\_

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

**IDENTITY VERIFIED "IN-PERSON" - INDIABULLS SECURITIES LIMITED**

IPV Done <input type="checkbox"/> on	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	Place		<b>SEAL/STAMP</b>
D	D	M	M	Y	Y	Y	Y					
Employee Name												
Designation		Date	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	
D	D	M	M	Y	Y	Y	Y					
Employee's Signature												

**FOR OFFICE USE ONLY**

Intermediary name **INDIABULLS SECURITIES LIMITED**

<input type="checkbox"/> (Originals verified) True copies of documents received	<b>SEAL/STAMP</b>								
<input type="checkbox"/> (Self-Attested) Self Certified Document copies received									
Employee Name									
Designation		Date <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">D</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">M</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td><td style="width: 20px; height: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Employee's Signature									

## INSTRUCTIONS/CHECKLIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA) : List of documents admissible as Proof of Address: (*\*Documents having an expiry date should be valid on the date of submission.*)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/ Unique Identification Number (UID) (Aadhaar).
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN (*\*Sufficient documentary evidence in support of such claims to be collected*)

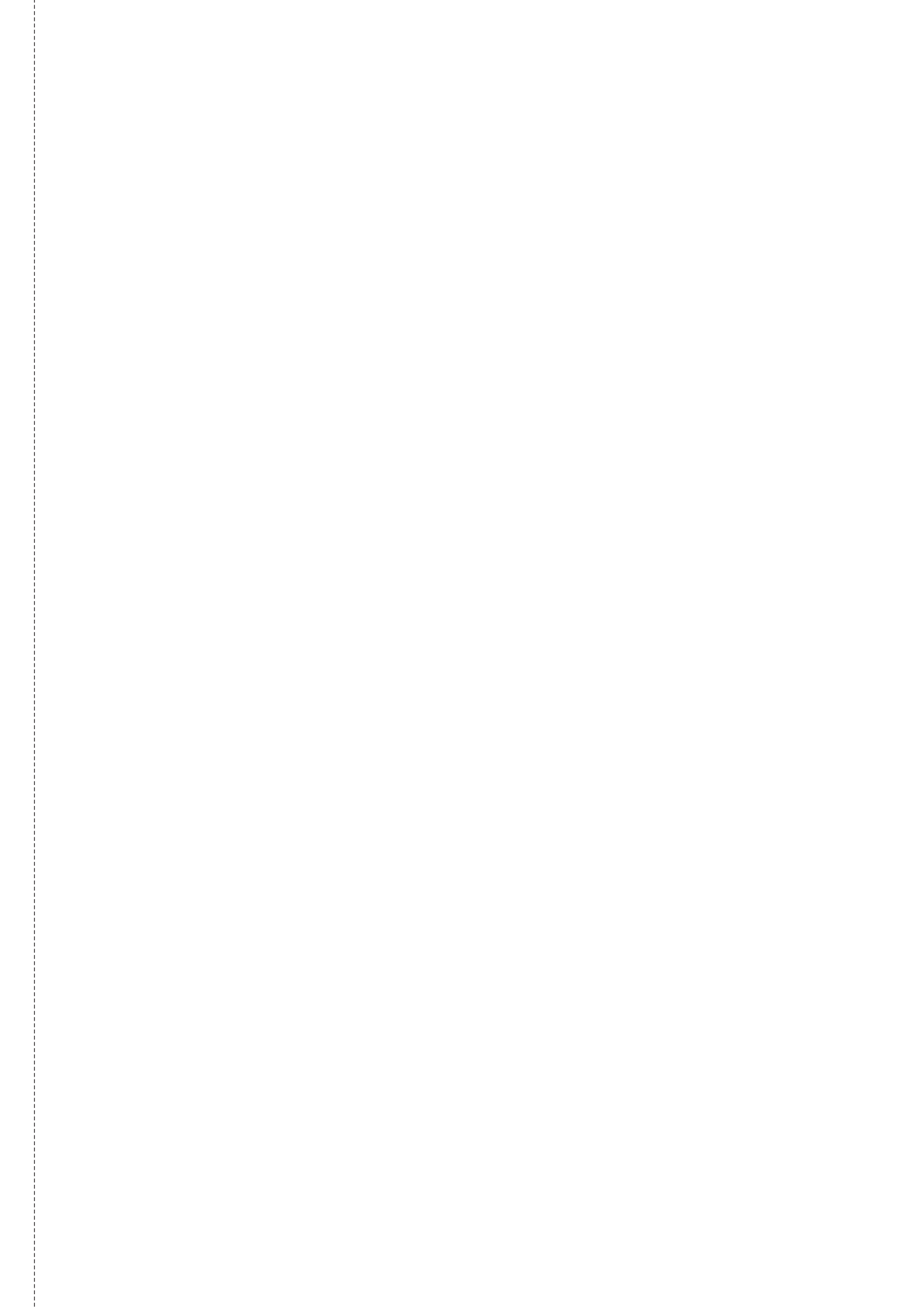
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

### E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Signature 







**Additional KYC Form for Opening a Demat Account**  
**INDIABULLS SECURITIES LIMITED**

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**SEBI Registration Number : IN-DP-NSDL-184-2000 DP ID : IN-302236**

**APPLICATION FORM FOR OPENING A DEMAT ACCOUNT (For Individual Only)**

**(To be filled by the Depository Participant)**

DP ID	I	N	3	0	2	2	3	6	Date	D	D	M	M	Y	Y	Y	Y
Client ID (to be filled by the participant)																	

I/We request you to open a depository account in my/our name as per the following details:  
 (Please fill all the details in **CAPITAL LETTERS** only)

**A Details of Account holder(s):**

<b>Sole / First Holder's Name</b>																		
<b>PAN</b>																		
<b>Second Holder's Name</b>																		
<b>PAN</b>																		
<b>Third Holder's Name</b>																		
<b>PAN</b>																		

**B For HUF, 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 HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

<b>Name</b>																		
<b>PAN</b>																		

**C Type of account**

Ordinary Resident   
  NRI-Repatriable   
  NRI-Non Repatriable   
  Qualified Foreign Investor  
 Foreign National   
  Promoter   
  Margin   
  Others (Please specify) \_\_\_\_\_

**D In case of NRIs / Foreign Nationals**

RBI Approval Reference Number											RBI Approval date	D	D	M	M	Y	Y	Y	Y
-------------------------------	--	--	--	--	--	--	--	--	--	--	-------------------	---	---	---	---	---	---	---	---

**E Bank details**

Bank Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																	
Bank Account Number																		
Bank Name																		
Branch Address																		
												City/Town/Village						
State						Country						PIN Code						
MICR Code																		
IFSC Code																		

Print Date: 24-Feb-2014 Version: 2.7

**F. OTHER DETAILS (please see guidelines overleaf)**

<b>Gross Annual Income Details (please tick ( ✓ ))</b>	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 25 Lacs
--	--

OR

<b>Net-Worth in Rs.</b>	(* Net-Worth should not be older than 1 year)	<b>as on (date)</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<b>Occupation</b> (Please tick ( ✓ ) any one and give brief details):	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others (Please Specify) _____	
<b>Please tick if applicable</b>	<input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to Politically Exposed Person For definition of PEP, please refer guideline overleaf	
<b>Any other information</b>		

**G Standing Instructions**

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>SMS Alert facility:</b> [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]			
<b>Sr. No.</b>	<b>Holder</b>	<b>Yes</b>	<b>No</b>
a)	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
b)	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
c)	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
Standing Instruction for Auto Pledge Confirmation by Pledgee		<input type="checkbox"/>	<input type="checkbox"/>
With reference to my / our application for opening a depository account, I/ We request you to enable my / our depository account having DP ID _____ & Client ID _____ with Flag "Standing Instruction for Auto Pledge Confirmation".			
I/We have read and understood the Securities and Exchange Board of India's guidelines on pledging of shares in dematerialised form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996			

**H Guardian 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	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Relationship of guardian with minor

**I Nomination Option**

<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]	<input type="checkbox"/> I/We do not wish to make a nomination. [Strike off the nomination details below]
--	--

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death.

(1) Name of the Nominee (Mr./Ms.)		Photograph of nominee
(2) Relationship with the Applicant (if any)		Signature of nominee across photograph

(3) Address of Nominee													
										City/Town/Village			
State			Country			PIN Code							
(4) Contact Details of the Nominee													
Tel. No. (R)						Fax No.							
Tel. No. (O)						Mobile No.							
PAN						UID							
E-mail ID													
(5) Signature of nominee													

**To be filled up (Sr. No 6 - 10) only if Nominee is a Minor**




(6) Date of Birth (in case of minor nominee)			D	D	M	M	Y	Y	Y	Y			
(7) Name of Guardian (Mr./Ms.) (in case of minor nominee)								photograph of guardian (for minor nominee)					
(8) Address of Guardian								Signature of guardian across photograph					
										City/Town/Village			
State			Country			PIN Code							
(9) Contact Details of the Guardian													
Tel. No. (R)						Fax No.							
Tel. No. (O)						Mobile No.							
E-mail ID													
(10) Relationship of Guardian with Nominee													
(11) Signature of the Guardian													

**Signature of two Witnesses for nomination**

	First Witness								Second Witness							
Name of witness																
Address of witness																
Signature of witness with Date																
	D	D	M	M	Y	Y	Y	Y	D	D	M	M	Y	Y	Y	Y

### 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.

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

#### 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 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
  - I. 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, 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.
  - II. 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.
  - III. The Nominee 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.
  - IV. 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.
  - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
  - VI. 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, 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.
  - VII. 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.
4. Strike off whichever is not applicable.





**Additional KYC Form for Opening a Demat Account**  
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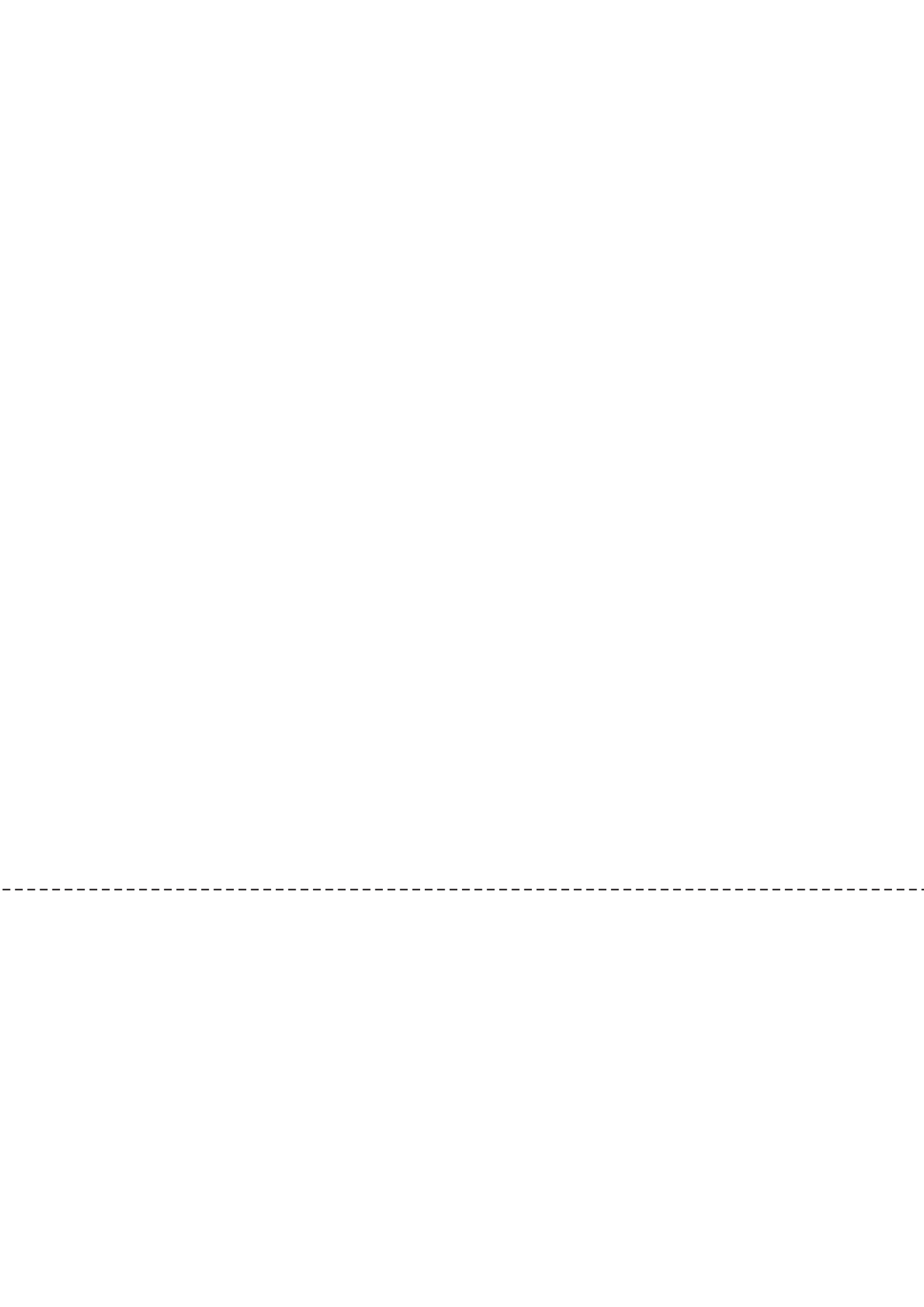
**SEBI Registration Number : IN-DP-NSDL-184-2000 DP ID : IN-302236**

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

Date 

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



# 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 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.

#### **Client Acknowledgment**

I/We have received and read the copy of Right and Obligations document.

#### **Signature(s) of Account Holder(s)**

  
Signature (First Holder)

  
Signature (Second Holder)

  
Signature (Third Holder)

## E-STATEMENT & SMS ALERT FACILITY FORM

To,

INDIABULLS SECURITIES LIMITED  
Depository Division – E-Statement & SMS Alert Facility  
12th Floor, Tower - A, Building No. C-5,  
DLF Cyber City, DLF Phase-3,  
Gurgaon - 122002

Dear Sir/Madam,

I/We wish to avail the below mentioned facility(ies) for my/our Demat Account with Indiabulls Securities Limited (ISL) and I/We acknowledge and grant my/our consent to ISL for providing the said services as per the given Terms & Conditions:

**Statement on E-mail**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing to ISL.

I/We confirm that any change in the E-mail address or any other instructions with regard to dispatch/service of my/our e-statements on me/us shall not be binding upon ISL unless ISL is intimated in writing by me/us by acknowledged delivery. ISL shall not take cognizance of out-of-office/outofstation auto replies and I/We shall be deemed to have received such statements.

I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the E-mail account.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised.

I/We have understood that ISL & myself/ourselves holds the authority to terminate Statement on mail facility provided a written notice is given in advance to the other party.

I/We affirm that ISL shall not be responsible for the non-receipt of the Statement due to any change in my/our E-mail address and if the same is not intimated by me/us to ISL and that ISL shall not take cognizance of out-of-office/out-of-station auto replies and I/We shall be deemed to have received such Statements.

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). Incase there is any discrepancy in the Statement(s); I/we shall inform ISL of the same by writing to helpdesk@indiabulls.com or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However ISL in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**Statement on Web**

I/We confirm having opted to receive the statement(s) pertaining to the below mentioned BO account in electronic mode in lieu of the physical copy of the statement(s).

I/We understood that Statement on Web facility would only be provided to me only when I have Online Trading Account with ISL.

I/We also reserve my/our right to receive the physical copy of the statement(s) despite receiving the same in electronic mode, if such a demand is made in writing on ISL.

I/We am/are aware that I/we will not receive the statement(s) in paper form and I/we would be required to login to Indiabulls Online account to view my statements.

I/We am/are aware that the statement(s) may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised.

I/We have understood that ISL & myself/ourselves holds the authority to terminate Statement on web facility provided a written notice is given in advance to the other party.

I/We undertake that it shall be my/our responsibility to verify all the details of my Statement(s). Incase there is any discrepancy in the Statement(s), I/we shall inform ISL of the same by writing to helpdesk@indiabulls.com or to Customer Care at the above mentioned address. In case I/we do not inform and get the discrepancies corrected the same shall be deemed to have been accepted and will be binding upon me/us. However ISL in its absolute discretion, reserves the right to determine the validity of any objection to the transaction, even though the objection is received after the expiry of stipulated time.

**SMS Alert Facility**

I/We understand that the SMS Alerts would be sent for all types of debits and credit's into the below mentioned Demat Account Number.

I/We provide the following information for the purpose of REGISTRATION/MODIFICATION (Please cancel out whichever is not applicable, as per the option(s) selected above).

**Demat Account Number**

I	N	3	0	2	2	3	6							
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

**Mobile Number**

+	9	1												
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero on which messages are to be sent)

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

E-mail ID: \_\_\_\_\_

(Please write **only ONE valid E-mail ID** on which E-Statement/Communications (if any) is to be sent)

The Depository Participant shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the Depository Participant providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the Depository Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Depository Participant may at any time incur, sustain, suffer or be put to as a consequence of or rising out of interference with or misuse, improper or fraudulent use of the service by the BO.

The Depository Participant may amend the Terms and Conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

### TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM NSDL

**1.1 Definition**

In these Terms and Conditions, the following terms shall have the following meanings:

"Alerts" or "Facility" means the customized messages with respect to specific events/transactions relating to an BOs Account sent as Short Messaging Service ("SMS") over mobile phone to the BO;

"BO" means the person who holds an Account;

"Account" means the Demat Account of the BO with NSDL maintained through its Depository Participant;

"ISIN" means an International Securities Identification Number assigned to a security;

"CSP" means the Cellular Service Provider through whom the BO or NSDL receives the mobile services.

## 1.2 Registration

This facility will be available to the investors provided they have given their mobile numbers to their DPs and the DPs have captured the numbers in the DPM system and have also enabled (ticked) the SMS flag in their DPM system.

## 1.3 Availability

1.3.1 NSDL at its sole discretion may discontinue the Facility at any time by providing a prior intimation through its website or any other medium of communication. NSDL may at its discretion extend the Facility to BOs who register mobile phones originating outside India.

1.3.2 The Alerts would be generated by NSDL and will be sent to the BOs on the mobile number provided by the BO and the delivery of the Alert would be entirely based on the service availability of the Service Provider and connectivity with other cellular circles of the CSPs or in circles forming part of the roaming GSM network agreement between such CSPs. The Alerts are dependent on various factors including connectivity and, therefore, NSDL cannot assure final and timely delivery of the Alerts.

1.3.3 The BO will be responsible for the security and confidentiality of his/her Mobile Phone and mobile phone number to be used for this Facility.

## 1.4 Process

1.4.1 NSDL provides SMS Alert facility for demat account holders whereby they can receive alerts directly from NSDL for following on their registered mobile number. All Debits and Credits (transfers), Credits for IPO, sub- division and bonus, Failed instructions, Overdue instructions, Change of mobile number, Change of address, Credit/debit of Mutual Fund units.

1.4.2 The BO is duty bound to acquaint himself/herself with the detailed process for using the Facility and interpreting the Alerts for which NSDL is not responsible for any error/omissions by the BO.

1.4.3 The BO acknowledges that the Alerts will be implemented in a phased manner and NSDL may at a later stage; as and when feasible, add more Alerts. NSDL may, at its discretion, from time to time change the features of any Alert. The BO will be solely responsible for keeping himself/herself updated of the available Alerts, which shall, on best-effort basis, be notified by NSDL through its website or any other medium of communication.

## 1.5 Receiving Alerts

1.5.1 The BO is solely responsible for intimating in writing to his/her Depository Participant any change in his/her mobile phone number and NSDL will not be liable for sending Alerts or other information over his/her mobile phone number recorded with NSDL.

1.5.2 The BO acknowledges that to receive Alerts, his/her mobile phone must be in an 'on' mode. If his/her mobile is kept 'off' for a specified period from the time of delivery of an Alert message by NSDL, that particular message may not be received by the BO.

1.5.3 The BO acknowledges that the Facility is dependent on the infrastructure, connectivity and services provided by the CSPs within India. The BO accepts that timeliness, accuracy and readability of Alerts sent by NSDL will depend on factors affecting the CSPs and other Service Providers. NSDL shall not be liable for non-delivery or delayed delivery of Alerts, error, loss or distortion in transmission of Alerts to the BO.

1.5.4 NSDL will endeavor to provide the Facility on a best effort basis and the BO shall not hold NSDL responsible/liable for non-availability of the Facility or non performance by any CSPs or other Service Providers or any loss or damage caused to the BO as a result of use of the Facility (including relying on the Alerts for his/her investment or business or any other purposes) for causes which are attributable to /and are beyond the control of NSDL. NSDL shall not be held liable in any manner to the BO in connection with the use of the Facility.

1.5.5 The BO accepts that each Alert may contain certain account information relating to the BO. The BO authorizes NSDL to send any other account related information, though not specifically requested, if NSDL deems that the same is relevant.

## 1.6 Withdrawal or Termination

1.6.1 NSDL may, in its discretion, withdraw temporarily or terminate the Facility, either wholly or in part, at any time. NSDL may suspend temporarily the Facility at any time during which any maintenance work or repair is required to be carried out or in case of any emergency or for security reasons, which require the temporary suspension of the Facility.

1.6.2 Notwithstanding the terms laid down in clause 1.5.1 above, either the BO or NSDL may, for any reason whatsoever, terminate this Facility at any time. In case the BO wishes to terminate this Facility, he/she will have to intimate his/her Depository Participant accordingly.

## 1.7 Fees

1.7.1 At present, NSDL is levying no charge for this Facility on the Depository Participants. The BO shall be liable for payment of airtime or other charges, which may be levied by the CSPs in connection with the receiving of the Alerts, as per the terms and conditions between the CSPs and BOs, and NSDL is in no way concerned with the same.

## 1.8 Disclaimer

1.8.1 This Facility is only an Alert mechanism for the BOs and is not in lieu of the Transaction Statements required to be provided by the Depository Participant to its clients.

1.8.2 NSDL shall not be concerned with any dispute that may arise between the BO and his/her CSP and makes no representation or gives no warranty with respect to the quality of the service provided by the CSP or guarantee for timely delivery or accuracy of the contents of each Alert.

1.8.3 The BO shall verify the transactions and the balances in his/her account from his/her Depository Participant and not rely solely on Alerts for any purpose.

1.8.4 NSDL will not be liable for any delay or inability of NSDL to send the Alert or for loss of any information in the Alerts in transmission.

## 1.9 Liability


1.9.1 NSDL shall not be liable for any losses, claims and damages arising from negligence, fraud, collusion or violation of the terms herein on the part of the BO and/or a third party.

## 1.10 Contact

The investors may contact their respective DPs in case they do not receive SMS alert inspite of registering for this facility. Those investors who have provided their mobile numbers to their DPs but do not wish to avail this facility may also inform their DPs accordingly provided such accounts are not operated by Power of Attorney.

**For further details/information investors may contact us at:**

Investor Relationship Cell  
National Securities Depository Limited  
4th Floor, A Wing, Trade World, Kamala Mills Compound  
Senapati Bagpat Marg, Lower Parel, Mumbai-400 013.  
Tel.: (022) 2499 4200 / 4090 4200 Fax: ( 022 ) 2497 6351  
Email: relations@nsdl.co.in

	First Holder	Second Holder	Third Holder
Name			
Signature 			
<b>(In case of Joint Holders all the Demat Account holders need to compulsorily sign this document)</b>			

**Note:** Signing for SMS alert facility is mandatory for clients opting for POA facility (SMS alert facility shall not be available for clients providing the ISD Number).

**POWER OF ATTORNEY**  
**(Note : Execution of Power of Attorney is not mandatory)**

KNOW ALL MEN BY THESE PRESENTS THAT I/WE (First Holder/Authorized Person), .....

..... S/o, D/o, W/o

..... Nationality Indian, residing at

I/WE (Second Holder/Authorized Person), ..... S/o, D/o, W/o

..... Nationality Indian, residing at

I/WE (Third Holder/Authorized Person), ..... S/o, D/o, W/o

..... Nationality Indian, residing at

an individual/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 1956 or any relevant Act, having his/her/its residence/registered office/ place of business at.....  
.....(herein referred to as the "Client")

**WHEREAS**

Whereas Accounts processing office of ISL is at G.K.S. TOWERS, GROUND FLOOR, 935, P. H. ROAD, CHENNAI - 600084 (TN)

- A.** The Client has signed a Margin Trading Agreement (hereinafter referred to as the "Agreement") to avail of Margin Trading Facility from Indiabulls Securities Limited (hereinafter referred to as "ISL") a company incorporated under the Companies Act, 1956, and having its registered office at, M 62 & 63, First Floor, Connaught Place, New Delhi - 110001 and a member of The National Stock Exchange of India Limited (hereinafter referred to as the "NSE") and Bombay Stock Exchange Limited (hereinafter referred to as the "BSE") respectively (hereinafter referred to as Exchanges), also a Participant of Central Depository Services Limited (hereinafter referred to as "CDSL") and National Securities Depository Limited (hereinafter referred to as "NSDL"), and pursuant to which ISL shall fund purchases of shares bought by the Client. The shares purchased under margin trading shall be lying in the demat account bearing client ID..... & DP ID..... which shares shall be the security deposit against the amount funded by ISL.
- B.** ISL may acquire memberships of various other exchanges in future and shall permit me/us to trade on these stock exchanges subject to my entering into agreement with ISL for these exchanges.
- C.** The Client has undertaken and agreed to appoint ISL, acting through any of its Director(s) and/or officers duly authorized by it for the purpose, as his/her/it/their true and lawful Constituted Attorney (hereinafter referred to as the "Attorney") with full authority for the purposes mentioned herein below:

**IN WITNESS WHEREOF:**

1. In this Power of Attorney words not otherwise defined shall have the meaning as defined in the Agreement.
2. The Client does hereby, notwithstanding and overriding any other authority issued earlier for similar matters, nominate, constitute and appoint ISL to be its true and lawful Attorney (an "Attorney"), in his/her/its/their name and on his/her/its/their behalf and at his/her/its/their risk and costs to do or cause to be done the following acts, deeds, matters or things, that is to say:
  - a) To operate Beneficiary account no ..... held by me/us maintained with ISL, a Depository Participant, and execute delivery instruction slips to effect transfer of shares/securities from my/our beneficiary account, for the purpose of meeting all of my/our obligations under the margin trading scheme/agreement and shall include but shall not be limited to upfront margin ("Margin"), liquidation of Margin Trading Stock and transfer of the same from the clients margin account to client's demat account and/or delivery obligation(s) arising out of my/our trades on any recognized Stock Exchange through ISL (stock exchanges shall include exchanges in which ISL may become a member in future).
  - b) To pledge the securities held my me/us in my/our afore mentioned account/s in favor of any Exchange and/or ISL /and /or any other entity ISL may deem fit for the purpose of meeting my/our margin requirement pertaining to the trades executed by me/us on any Stock Exchange through ISL.

.....  
First Holder/Authorized Signatory

.....  
Second Holder/Authorized Signatory

.....  
Third Holder/Authorized Signatory

.....  
First Holder/Authorized Signatory

.....  
Second Holder/Authorized Signatory

.....  
Third Holder/Authorized Signatory

- c) To apply for any corporate benefits such as open offers, rights issues, buyback redemptions etc. accrued on the securities in my/our beneficiary account(s).
- d) To transfer securities held in my/our aforesaid beneficial account(s) for meeting the "Margin" and/or delivery obligation and/or towards pledge requirements and/or such instructions as may be necessary to fulfill my/our obligations arising out of trades done by me/us through ISL and effect the same to/from the following accounts or any other account that ISL shall inform me in writing from time to time and such account no.(s) shall form a part of this POA:

1202990000000017, 1202990000427968, 1202990004290610, 1202990000000021, 1100001100015099, 1202990000000061, 1202990000000074, 1100001000014348, 1202990005621760, 1100002300000106, 1100002400000345, 1202990005658191, 1202990005658208, CMBP ID: IN559097, CM BP ID: IN609079, IN302236-10000137, IN302236-10131283, IN302236-11165513, IN302236-11307062, IN301549-17876895, IN302236-12070363, 1202990006259701 any account of ISL to which the CM ID (s) IN559097, IN609079 are associated/mapped.

- e) To return to me/us the security (ies):
- (i) which in the sole and absolute discretion of ISL, are considered to have been received by ISL erroneously; or
  - (ii) which ISL, in its sole and absolute discretion considers to be not entitled to receive from me/us.
  - (iii) All such securities shall be returned back to the account in which the same were erroneously transferred.

3. I/We agree that in view of the above only the Attorney shall be entitled to deal with the shares lying in the demat account(s) mentioned in Point Number 2 (a).
4. The authority hereby conferred in favor of the attorney may be revoked by me/us at any time without notice; However ISL shall act on such revocation sent by me to ISL in writing only on receiving of the said notice, at Indiabulls Securities Limited, DP Department, 12th Floor, Tower - A, Building No. C-5, DLF Cyber City, DLF Phase-3, Gurgaon - 122002, The said notice shall be a duly signed original written communication & ISL shall give effect to the said notice of revocation only after all monies, amounts, dues, charges, expenses, etc. by whatever name called, payable by me/us to ISL have been fully and duly paid by me/us.

Further I/we hereby authorize ISL to send the consolidated summary of my/our script-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on daily basis and confirm that all such SMS/emails shall be considered as proof of such positions and the resultant effect on the afore mentioned dues.

5. I/we shall be the exclusive beneficiary (ies) of the transactions carried out pursuant to this power of attorney.
6. I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the Attorney pursuant to this Power of Attorney has been made done and executed in good faith and shall for all purposes be valid and binding on me/us.
7. I/We irrevocably and unconditionally undertake to indemnify the Attorney against all actions, proceedings, claims, costs, expenses and liabilities of every description arising from the exercise, or the purported exercise in good faith, of any of the powers conferred by this Power of Attorney.
8. This Power of Attorney shall be governed by, and construed in accordance with, the laws of India and shall be subject to the jurisdiction of the Courts in Delhi.

IN WITNESS whereof I/We set my/our hands on the day, date, year and place mentioned herein above.

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature 			
<b>For Indiabulls Securities Limited</b>			
Authorized Signatory			
Witness Signature: 		Witness Signature: 	
Witness Name: Witness Address:		Witness Name: Witness Address:	

**Note:** Signing for SMS alert facility is mandatory for clients opting for POA facility.



## INDIABULLS SECURITIES LTD.

Registered Office: M 62 & 63, First Floor, Connaught Place, New Delhi - 110001. Tel.: 011 30252900, Fax: 011 30252901  
Correspondence Address: 12th Floor, Tower - A, Building No. C-5, DLF Cyber City, DLF Phase-3, Gurgaon-122 002  
Tel.: (0124) 3834500, Fax: (0124) 3834501

### SCHEDULE 'A'

**SCHEDULE OF CHARGES [NSDL - DP ID : IN-302236]** (w.e.f. 1st October 2012)

Charge Head		Charges	
		Account with POA	Account without POA
Stamp Paper Charges		Nil	Rs. 100/-
<b>AMC Charges for Basic Services Demat Account (BSDA)</b>	Value of holdings up to Rs 50,000/-	Nil	Nil
	Value of holdings between Rs 50,001/- to Rs 2,00,000/-	Rs 100/-	Rs 100/-
AMC Charges (inclusive of Service Tax)	<b>Individual</b>	Rs. 450/-	Rs. 500/-
	<b>Corporate</b>	Rs. 1000/-	Rs. 1500/-
Custody Charges		Nil	Nil
Transaction Charges (Buy)		Nil	Nil
Transaction Charges (Sell)		Rs. 9.50/-per Transaction/Incase of NRI/OCB clients Rs. 15/- or .02% of the transaction value (whichever is higher)	
Off-Market Transactions		Rs. 15/- or .02% of the transaction value (whichever is higher)	
Failed Instruction		Nil	Rs. 20/- per instruction.
Pledge Creation/Confirmation/ Closure/Invocation		Rs. 25/- or .02% of the transaction value (whichever is higher)	Rs. 25/- or .02% of the transaction value (whichever is higher)
DEMAT		Re. 1/- per certificate (max Rs. 250/-) + Rs. 25/- courier charges	Rs. 2/- per certificate (max Rs. 250/-) + Rs. 25/- courier charges
DEMAT Rejections		Rs. 20/- per rejection + Rs. 25/- courier charges	Rs. 20/- per rejection + Rs. 25/- courier charges
REMAT		a) A fee of Rs. 15/- for every 100 securities or part thereof. OR b) A flat fee of Rs. 15/- per certificate, whichever is higher.	a) A fee of Rs. 15/- for every 100 securities or part thereof. OR b) A flat fee of Rs. 15/- per certificate, whichever is higher.
Delivery Instruction Book		Nil	Rs. 25/- No charges for first book.
Fax Indemnity (Optional)		Actual	Actual
Courier/Postal Charges of Security item, security certificate etc.		Actual (Applicable for NRI/OCB clients only)	Actual (Applicable for NRI/OCB clients only)

#### Note:

- In case of delays in the payment of charges, the demat account will be frozen for all operations till such time all dues are cleared subject to 30 days notice from the payment due date.
- All instructions for transfer must be received in physical form from the clients upto 4:00 PM on "T+1" for pay-in of securities Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion and as per revision in NSDL charges and are subject to 30 days notice from the date of applicability.
- All payments to be made in the name of "Indiabulls Securities Ltd." via a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.
- Out of pocket expenses incurred on the dispatch of securities for Dematerialisation and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actuals.
- Any advance payment over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
- Upfront payment of Rs. 5000/- for Minor Accounts..
- It may be noted that in the event of demat account closure or shifting of demat account to another DP, the upfront annual AMC collected is refundable to the extent of balance quarter(s)
- In case of BSDA Account, the value of holdings exceeds Rs.2,00,000/- on any date or the account holder cease to meet the eligibility criteria for BSDA, then charges would be levied as that applicable to regular account (nonBSDA) from that date onwards.

#### CHARGES ON NON-PAYMENT OF DUES:

Penalty and Interest Charges	A penalty of 2% per month the value outstanding on the bill after one month from the due date.
Non-Payment of bill after 30 days	Temporarily the Depository Services will be withdrawn from the payment due date. The renewal charges for resuming the Services will be Rs. 100/- per account.

Signature (First Holder)

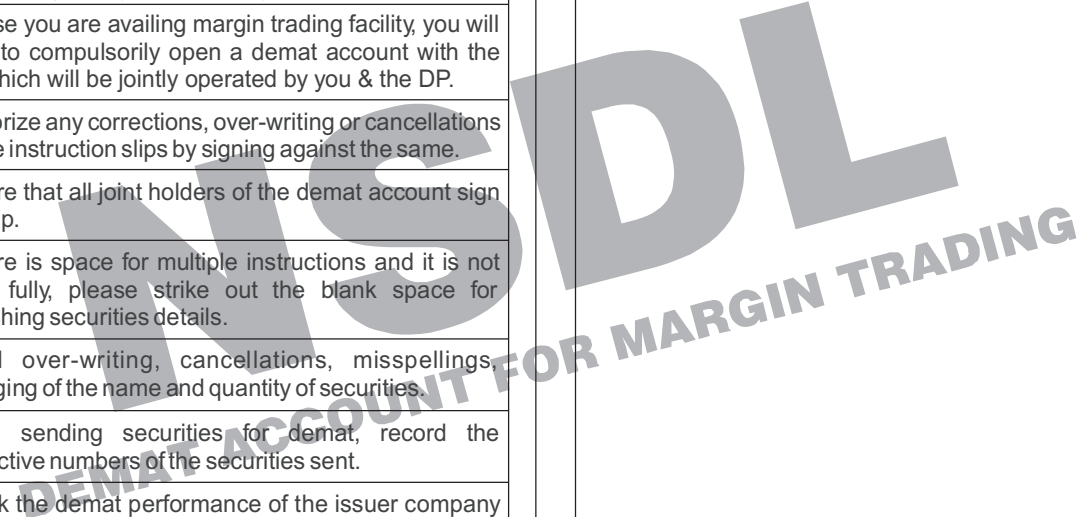
Signature (Second Holder)

Signature (Third Holder) (12)

**DO's  
FOR INVESTOR**

Please	
1.	Scrutinize thoroughly both the transaction and holding statement that you receive.
2.	Handle Delivery Instruction Slips (DIS) Book issued to you carefully.
3.	Insist that the DIS numbers are pre-printed and your account number (client id) be pre-stamped.
4.	Always mention the details like ISIN, number of securities accurately. If in doubt, contact DP or your broker.
5.	Please note Execution of Power of Attorney is not compulsory.
6.	Please understand the utility of executing Power of Attorney before signing the same.
7.	In case you are not transacting frequently make use of the freezing facility provided for your demat account.
8.	In case you are availing margin trading facility, you will have to compulsorily open a demat account with the DP which will be jointly operated by you & the DP.
9.	Authorize any corrections, over-writing or cancellations on the instruction slips by signing against the same.
10.	Ensure that all joint holders of the demat account sign the slip.
11.	If there is space for multiple instructions and it is not used fully, please strike out the blank space for furnishing securities details.
12.	Avoid over-writing, cancellations, misspellings, changing of the name and quantity of securities.
13.	While sending securities for demat, record the distinctive numbers of the securities sent.
14.	Check the demat performance of the issuer company with your DP before deciding to send certificates for demat.

**DONT's  
FOR INVESTOR**

Please	
1.	Do not issue demat delivery instruction slip from any other family members, friends accounts. Issue the DIS only from your own demat account.
2.	Do not sign blank Delivery instruction slip(s) while meeting security payin obligation.
	

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From the team at Indiabulls Securities Limited "**HAPPY INVESTING**".

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**Indiabulls Helpline**  
**E-mail : helpdesk@indiabulls.com**  
**Client Helpline : 0124 4572444**

  
 Signature (First Holder)

  
 Signature (Second Holder)

 (13)  
 Signature (Third Holder)