CDSL
Your Depository

PINC

Infinity.com Financial Securities Ltd.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.
1216, Maker Chamber V, Nariman Point, Mumbai - 400 021.
Tel.: 022-6618 6400, Fax: 022-2204 9195
https://www.infinityfinsec.com/
DP ID: 12053400 & SEBI Reg. No.: IN-DP-514-2020
CIN No.: U67120MH1994PLC078100

ACCOUNT OPENING FORM

Account No. : 12053400 - 00

Name (1) : ____________________

Name (2) : ____________________

Name (3) : ____________________

DP Internal Ref. No. : ____________________

ANNEXURE – 1

INDEX OF DOCUMENTS

A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Compliance officer name: phone no. & email id:	**Anant Shelar** 022 6618 6633 • infinitycompliance@pinc.co.in
Designated Director's name: phone no. & email id:	**Ketan Gandhi** 022 6618 6633 • ketang@pinc.co.in

For any grievance/dispute please contact Infinity.com Financial Securities Ltd. at the above address or email custcare@pinc.co.in and Phone no.: 022 6618 6633. In case not satisfied with the response, please contact the concerned exchange(s) at on CDSL Tel.: 022 2302 3333 • E-mail Id: helpdesk@cdslindia.com and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • www.scores.gov.in

MANAGING YOUR DEMAT ACCOUNT WITH CDSL

SIMPLE DOs and DON'Ts

1. Verify your transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform your DP or CDSL.
2. Intimate any change of address or change in bank account details to your DP immediately.
3. While accepting the Delivery Instruction Slip (DIS) book from your DP, ensure that your BO ID is pre-stamped on all the pages along with the serial numbers.
4. Keep your DIS book safely and do not sign or issue blank or incomplete DIS slips.
5. Strike out the empty space, if any, in the DIS, before submitting to DP.
6. For market transactions, submit the DIS ahead of the deadline time. DIS can be issued with a future execution date.
7. The demat account has a nomination facility and it is advisable to appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
8. To open and operate your demat account, copy of PAN card of all account holders is to be submitted to the DP along with original PAN card, for verification.
9. Register for CDSL's SMART (SMS Alerts Related to Transactions) facility. If any unauthorized debit is noticed, the BO should immediately inform CDSL and the Main DP, in writing. An email may be sent to CDSL at complaints@cdslindia.com.
10. Register for CDSL's Internet based facility "easi" to monitor your demat account yourself. Contact your DP or visit CDSL's website: www.cdslindia.com for details.
11. In order to receive all the credits coming to your demat account automatically, you can give a one-time, standing instruction to your DP.
12. Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope and implications of powers being granted.

INSTRUCTIONS TO THE APPLICANTS (BOS) FOR ACCOUNT OPENING

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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*Note that we will not accept any old delivery instruction slip on or after January 07, 2016 As per CDSL Circular no CDSL/OPS/DP/POLCY/4664 dated August 27, 2014.

*As per SEBI circular now onward mobile no and email ID of (Self/ spouse/ dependent children /dependent Parents) only consider, if you have single email id and contact detail to multiple account, kindly update Separate details (refer Annexure II

List of supporting document for individual	List of supporting document for Corporate
• Copy of ITR Acknowledgement • Copy of Annual Accounts • In case of salary income - Salary Slip, Copy of Form 16 • Net-worth certificate • Bank account statement for last 6 months • Copy of Holding statement of de-mat account • Any other relevant documents substantiating ownership of assets • Self declaration along with relevant supporting	• Net-worth certificate • Annual financial statement (P&L, Balance sheet)

Instructions for the Applicants for account opening

Applicant shall fill up the KYC Application form as specified by the KYC Registration Agency for individuals or for Non-Individuals as the case may be and additional KYC Form for opening a Demat Account for Individuals (Annexure 2.1) or for Non-Individuals (Annexure 2.2) and submit the same to the DP. The applicant should submit any one of the documents as valid Proof of Identity and Proof of address as specified by SEBI from time to time. If the investor is already KRA compliant, the investor should disclose such details of KRA with whom he / she is registered. Such investor need not submit KYC documents and KYC application form again. A Power of Attorney holder cannot open a demat account on behalf of the BO. DP must collect separate KYC application forms from sole / first holder, second holder and third holder in case of Joint Accounts. In case, if sole holder is a minor, KYC application form should be collected from the guardian also. Separate KYC application form to be collected from the HUF entity, Karta, Trust and Trustees in case of unregistered Trust and Partnership Firms. In order to open an account, the investor needs to fill up KYC Application form (if not KRA compliant) and Additional KYC form for opening a demat account. As per the format provided by CDSL (Annexures 2.1 or 2.2). The investor shall complete the standard form in all respects and submit the same to the DP along with the relevant documents as prescribed by SEBI vide circular no. MIRSD/SE/CIR-21/2011 dated October 5, 2011 & circular no. MIRSD/CIR-26/2011 dated December 23, 2011. However, the DPs can obtain a single form from the CM for opening the multiple accounts of same exchange, e.g. CM Principal and CM USA accounts for BSE and CM Clearing Member for exchanges other than BSE. Instructions to the applicants / BOs for account opening as given in Annexure 2.3 may also be printed on the account opening forms or given to the BOs as a separate sheet along with the accounting form. Those section of the application form, which are not relevant to any particular type of BO, shall be marked "Not Applicable".
BO must provide photocopies of documents submitted on regular paper and not on thermal facsimile paper.
Obtaining PAN Card details of all holders is compulsory for all categories of demat account holder (s) & updation of the same in CDSL system.
In some cases, the PAN is not required to be entered. Such cases are to be handled by entering appropriate exemption code. The exemption codes provided are as follows:

Exemption Code	D	G	P	S	U	H
Exemption Description for the account holder	Custodian	Governor	President of India	Sikkim Resident	UN entities / Multilateral Agencies	Holder Deceased

CHECK-LIST → (All the documents must be self attested by applicant)

(A) Correspondence Address

- This is applicable to all types of investors. • If correspondence address of the BO is not the same as permanent address, then the DP shall obtain proof of correspondence address and enter the same in the system, in case the BO is not registered with KRA.
- If the BO is registered with KRA and wants to use the same correspondence address mentioned in the KRA system, the BO will inform the DP accordingly. • If the BO is registered with KRA and does not want to use the correspondence address mentioned in the KRA system, the BO will inform the DP and submit SEBI specified proof of address document for the address to be entered on CDSL system.
- As per SEBI Circular No. CIR/MRD/DP/37/2010 dated December 14, 2010, address of a third party as a correspondence address, may be captured in a BO account provided that the Depository Participant (DP) ensures that all prescribed 'Know Your Client' norms are fulfilled for the third party also. The DP shall obtain proof of identity and proof of address for the third party. The DP shall also ensure that customer due diligence norms as specified in Rule 9 of Prevention of Money Laundering Rules, 2005 are complied with in respect of the third party.
- Where third party address is accepted as correspondence address, the DP shall ensure that proof of permanent address for the BO has been obtained and the same has been entered in the system. DPs should ensure that the statement of transactions and holdings are sent to the BO's permanent address atleast once in a year. • In case of PMS accounts, portfolio manager's address cannot be captured as correspondence address.

(B) Minor Details

The minor shall be the first and sole holder in the account i.e. there shall not be any joint accounts where a minor is a First / Second / Third joint holder. PAN card details of minor have to be entered in CDSL system.
In case of death of Guardian of existing Minor account holder:
In the case of death of the guardian of an existing minor account holder, the following procedure shall be followed:

i. Original Death Certificate of the deceased Guardian or a copy of the same, duly notarized or attested by a Gazetted Officer.
ii. The minor's account shall be frozen under the appropriate reason code till the new guardian has completed all formalities.
iii. Original or copy of the Court Order (duly notarized or attested by a Gazetted Officer), if the new guardian has been appointed by the Court.
iv. The new guardian shall submit a new account opening form duly complete in all respects along with KYC application form or details of KRA registered with.
v. DP has to provide a copy of Rights and Obligations document to the new guardian and keep an acknowledgement of the same on record.
vi. The new guardian shall submit a fresh Nomination Form for the minor's account.
vii. After verification of the AOF and documentation, details of the Guardian of the Minor account holder shall be suitably modified in the CDSL system.
viii. The signature of the deceased guardian shall be deleted and the signature of the new guardian shall be recorded in the CDSL system.
ix. POA documents/details, if any, recorded with the signature of the deceased guardian shall be deleted.

After the minor has attained majority, DP must collect new KYC application form after the minor has attained majority. The following procedure is to be adopted: • The account holder shall submit KYC application form or details of KRA registered with. • The account holder shall submit a new account opening form duly complete in all respects. The DP shall provide a copy of the Rights and Obligations document to the account holder and shall keep an acknowledgment of the same on record. • The guardian's details shall be deleted and guardian's signature shall be replaced by account holder's signature.
The above procedure can be followed only if the word 'minor' is not present in the "Account Holder's name" when the account was opened. If "minor" word is present, then the existing account has to be closed and a new account shall be opened.

(C) HUF

The documents to be obtained are:

a) The PAN details of the HUF entity would have to be entered in the CDSL system.
b) Declaration by Karta giving details of the family members of the HUF with their names, sex (male/ female), date of birth and relationship with the Karta.
c) DPs shall note the following while opening a HUF account:
• HUF accounts cannot be opened with joint holder(s). • HUF accounts cannot appoint a nominee. • In the account opening form, the Karta shall sign under the HUF stamp. • Account can be opened in the name of - Existing Karta / HUF entity • The name shall be as it appears in the PAN card, e.g. A H Doshi & Sons, Bal Govind Zangle (HUF). • In case POA is to be given by the karta to some other entity to operate the HUF Account, the POA shall be signed by all the members of the HUF account in addition to the karta.

Procedure to be adopted in the event of death of Karta is as follows:
• HUF, being a Hindu Undivided Family, the property of the family is managed by the Karta, • HUF does not come to an end in the event of death of the Karta. In such a case, the members of the HUF will appoint the new Karta. • The new karta shall submit the new list of members and a no objection from the surviving members of the HUF for him to act as Karta of the HUF. • The new Karta will submit to the DP the account modification form and record change in signature of the new Karta to operate the account. • The previous account need not be closed and the same account can continue.
Procedure to be followed in case of partition of HUF:
In case of partial partition of the HUF, if one or two members of the HUF have left, the others can still continue the HUF in the existing name. In case of full partition, the entire HUF is dissolved. In both the above cases, the Karta can transfer shares to the members who seek partition. If the issue of transfer cannot be amicably settled, the family members can go to court and transfer of shares can then be based on the Court directions.
Procedure to be followed in case of POA being given for the HUF
The Power of Attorney (POA) document shall be signed by the Karta of the HUF and all the co-parceners.

(D) NRI

a) In case of foreign address, if address with P.O. Box No. has been submitted as Permanent and/or Correspondence address. Additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
b) A declaration duly signed by the NRI that he/she has complied with and will continue to comply with, FEMA regulations and other applicable laws.

Change of status from NRI to Resident and vice versa:
It is the responsibility of the individual to inform the change of status to the DP with whom he/she has opened the demat account. Subsequently, a new demat account in the new status will have to be opened, securities shall be transferred from the old demat account to the new demat account and then the old demat account shall be closed.

(E) Foreign Nationals

a) Documents – same as NRI. • b) If the foreign address with P.O. Box No. is given as Permanent and/or Correspondence address, additionally, the DPs should obtain the complete residential address of the Foreign National BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

(F) **Association of Persons (AOP)**

a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

(G) **Proprietary / Partnership Firms**

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.
BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

(H) **Foreign Corporate**

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

(I) **Clearing Member (CM)**

a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

(J) **OCBs**

a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.
c) Memorandum and Articles of Association of the Company.
d) RBI Registration Certificate.
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.
g) Statement of account from the Bank.

(K) **SOCIETY**

Registered Society: The account shall be opened in the name of the society.
Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).
b) All the documents, as applicable for account opening under individual category, shall be obtained.

(L) **TRUST**

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):
a) Account shall be opened in the name of the Trust.
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act,1860 / Bombay Public Trust Act,1950 / Public Trust Act, of relevant State.
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.
Private Trust:
a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).
Recognized' Funds / Trusts/ Other similar entities.
The Funds/ Trusts/ Entities presently included under this category are as follows:
a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.
d) Venture Capital Funds which are registered by SEBI.
(e) ESOP Trust formed pursuant to the guidelines issued by SEBI).
Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.
Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:
• Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

(M) **BANKS**

a) Certified true copy of Board Resolution, **or** b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

(N) **Mutual Funds**

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

(O) **Escrow Account**

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.
Procedure for opening Escrow account.
• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

(P) **Limited Liability Partnership Firm**

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]
Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.
The following documents shall be obtained :
(i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar
• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".

Know Your Client (CKYC) + KRA Form
Application Form (For Individuals Only)

Please fill this form in English & in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

KYC Mode*: Please Tick by Click on Box

CVL

CERSAI

MANDATORY
(First Holder)

Infinity.com Financial Securities Ltd.

Application Number: ______________________

Please tick by click of a BOX
Application Type* ❑ NEW KYC ❑ Modification KYC
CKYC Number: ______________________

❑ Normal ❑ EKYC OTP ❑ EKYC Biometric ❑ Online KYC ❑ Online KYC ❑ Offline KYC ❑ Digilocker

1. IDENTITY DETAILS (Please refer guidelines overleaf)

PAN* ______________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ ______________ ______________ ______________

Maiden Name* (if any) _____ ______________ ______________ ______________

Father / Spouse Name* _____ ______________ ______________ ______________

Date of Birth* ______________________

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Marital Status* ❑ Single ❑ Married

Nationality* ❑ Indian ❑ Other ______________

Recent passport size Applicant Photo

1/33

Cross Signature across photograph

Residential Status* ❑ Resident Individual ❑ Non Resident Indian
Please tick (✓) ❑ Foreign National ❑ Person of Indian Origin*
(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the Individual)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________
❑ B - Passport Number ______________________ (Expiry Date) ______________
❑ C - Voter ID Card ______________________
❑ D - Driving Licence ______________________ (Expiry Date) ______________
❑ E - NREGA Job Card ______________________
❑ F - National Population Register Letter ______________________
❑ Z - Others ______________________ (any document notified by Central Government)
Identification Number ______________________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ______________ District* ______________ Pin Code* ______________

State* ______________________ Country* ______________________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN

Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ______________________________

Line 2 ______________________________

Line 3 ______________________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ______________ Country* ______________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card XXXX XXXX ________
❑ B - Passport Number ______________ (Expiry Date) ____________
❑ C - Voter ID Card ______________
❑ D - Driving Licence ______________ (Expiry Date) ____________
❑ E - NREGA Job Card ______________
❑ F - National Population Register Letter ______________
❑ Z - Others ______________ (any document notified by Central Government)
Identification Number ______________

3. Contact Details* (in CAPITAL)

Email ID* ______________________________

Mobile Number* ___ ______________

Tel. (Off.) ______________ Tel. (Res.) ______________

4. Applicant Declaration

- I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address.
- I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby condent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable with KRA and other intermediaries with whom i have a business relationship for KYC purposes only.

Date: ____________ (DD-MM-YYYY)

Place: ____________

Applicant e-SIGN	Applicant Wet-signature
Not Applicable	✍ 2/33

5. For Office Use Only

In Person Verification (IPV) carried out by*

IPV Date ___ ___ ______

Emp. Name: ______________

Emp. Code: ______________

Emp. Designation: ______________

❑ Self Certified document copies received (OVD)

❑ True Copies of documents received (Attested)

Pos Code:
Infinity.com Financial Securities Ltd.
CODE:

Employee Signature and Stamp

IPV Stamp & Signature Required

Know Your Client (CKYC) + KRA Form
Application Form (For Individuals Only)

Please fill this form in English & in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CVL CERSAI

MANDATORY
(Second Holder)

Infinity.com Financial Securities Ltd.

Application Number: ____________________

Please tick by click of a BOX
Application Type* ❑ NEW KYC ❑ Modification KYC

CKYC Number: ____________________

KYC Mode*: Please Tick by Click on Box

❑ Normal ❑ EKYC OTP ❑ EKYC Biometric ❑ Online KYC ❑ Online KYC ❑ Offline KYC ❑ Digilocker

1. IDENTITY DETAILS (Please refer guidelines overleaf)

PAN* ______________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ ______________ ______________ ______________

Maiden Name* (if any) _____ ______________ ______________ ______________

Father / Spouse Name* _____ ______________ ______________ ______________

Date of Birth* ______________________

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Marital Status* ❑ Single ❑ Married

Nationality* ❑ Indian ❑ Other ______________

Recent passport size Applicant Photo

Cross Signature across photograph

3/33

Residential Status* ❑ Resident Individual ❑ Non Resident Indian
Please tick (✓) ❑ Foreign National ❑ Person of Indian Origin*
(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the Individual)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________
❑ B - Passport Number ______________ (Expiry Date) ______________
❑ C - Voter ID Card ______________
❑ D - Driving Licence ______________ (Expiry Date) ______________
❑ E - NREGA Job Card ______________
❑ F - National Population Register Letter ______________
❑ Z - Others ______________ (any document notified by Central Government)
Identification Number ______________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ______________ District* ______________ Pin Code* ______________

State* ______________ Country* ______________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN

Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ______________________________

Line 2 ______________________________

Line 3 ______________________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ______________ Country* ______________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card XXXX XXXX ________

❑ B - Passport Number ____________ (Expiry Date) ____________

❑ C - Voter ID Card ____________

❑ D - Driving Licence ____________ (Expiry Date) ____________

❑ E - NREGA Job Card ____________

❑ F - National Population Register Letter ____________

❑ Z - Others ____________ (any document notified by Central Government)

Identification Number ____________

3. Contact Details* (in CAPITAL)

Email ID* ______________________________

Mobile Number* ___ ____________

Tel. (Off.) ____________ Tel. (Res.) ____________

4. Applicant Declaration

- I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address.
- I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby condent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable with KRA and other intermediaries with whom i have a business relationship for KYC purposes only.

Date: ____________ (DD-MM-YYYY)

Place: ____________

Applicant e-SIGN	Applicant Wet-signature
Not Applicable	✍ 4/33

5. For Office Use Only

In Person Verification (IPV) carried out by*

IPV Date ____ ____ ________

Emp. Name: ____________

Emp. Code: ____________

Emp. Designation: ____________

❑ Self Certified document copies received (OVD)

❑ True Copies of documents received (Attested)

Pos Code:
Infinity.com Financial Securities Ltd.
CODE:

Employee Signature and Stamp

IPV Stamp & Signature Required

Know Your Client (CKYC) + KRA Form
Application Form (For Individuals Only)

Please fill this form in English & in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

KYC Mode*: Please Tick by Click on Box

MANDATORY
(Third Holder)

Infinity.com Financial Securities Ltd.

Application Number: ________________________

Please tick by click of a BOX

Application Type* ❑ NEW KYC ❑ Modification KYC

CKYC Number: ________________________

❑ Normal ❑ EKYC OTP ❑ EKYC Biometric ❑ Online KYC ❑ Online KYC ❑ Offline KYC ❑ Digilocker

1. IDENTITY DETAILS (Please refer guidelines overleaf)

PAN* ____________________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ ___________________ ___________________ ___________________

Maiden Name* (if any) _____ ___________________ ___________________ ___________________

Father / Spouse Name* _____ ___________________ ___________________ ___________________

Date of Birth* __________________________

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Marital Status* ❑ Single ❑ Married

Nationality* ❑ Indian ❑ Other ____________________

Recent passport size Applicant Photo

Cross Signature across photograph

5/33

Residential Status* ❑ Resident Individual ❑ Non Resident Indian
Please tick (✓) ❑ Foreign National ❑ Person of Indian Origin*
(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the Individual)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________
❑ B - Passport Number _________________________ (Expiry Date) _______________
❑ C - Voter ID Card _________________________
❑ D - Driving Licence _________________________ (Expiry Date) _______________
❑ E - NREGA Job Card _________________________
❑ F - National Population Register Letter _________________________
❑ Z - Others _________________________ (any document notified by Central Government)
Identification Number _________________________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ____________________ District* ____________________ Pin Code* ____________________

State* ____________________________ Country* __________________________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN

Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ____________________

Line 2 ____________________

Line 3 ____________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ____________ Country* ____________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card XXXX XXXX ________

❑ B - Passport Number ____________ (Expiry Date) ____________

❑ C - Voter ID Card ____________

❑ D - Driving Licence ____________ (Expiry Date) ____________

❑ E - NREGA Job Card ____________

❑ F - National Population Register Letter ____________

❑ Z - Others ____________ (any document notified by Central Government)

Identification Number ____________

3. Contact Details* (in CAPITAL)

Email ID* ____________________

Mobile Number* ___ ____________

Tel. (Off.) ____________ Tel. (Res.) ____________

4. Applicant Declaration

- I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address.
- I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby condent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable with KRA and other intermediaries with whom i have a business relationship for KYC purposes only.

Date: ____________ (DD-MM-YYYY)

Place: ____________

Applicant e-SIGN	Applicant Wet-signature
Not Applicable	✍ 6/33

5. For Office Use Only

In Person Verification (IPV) carried out by*

IPV Date ____ ____ ________

Emp. Name: ____________

Emp. Code: ____________

Emp. Designation: ____________

❑ Self Certified document copies received (OVD)

❑ True Copies of documents received (Attested)

Pos Code:
Infinity.com Financial Securities Ltd.
CODE:

Employee Signature and Stamp

IPV Stamp & Signature Required

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (Please submit the KYC documents on A4 size paper only)

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/PIOCard/OCICard 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 is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Secon D).
2. Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/Passport/Voter ID card/Driving License/Letter issued by NPR/ NREGA job card.
3. If driving license number or passport is provided as proof of identy then expiry date is to be mandatorily furnished.
4. Mention idenfication/reference number if 'Z – Others (any document nofied by the central government)' is ticked.
5. Others – Identy card with applicant's photograph issued by any of the following: Central/State Government Departments, Statutory/Regulatory Authories, 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. PoA to be submied only if the submied PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Ulity bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdicons and leer issued by Foreign Embassy or Mission in India
3. Identy card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Ins-Instuons, Colleges affliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/Flat maintenance bill/Insurance copy/Ration card/Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/ NREGA job card

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. Authorized Official of Asset Management Companies (AMCs).
2. Authorized Official of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Associaon of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD) '.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designaon & Seal should be affixed on the copy).
5. 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 permied to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
   - The documents should be e-signed.
   - Applicant details are verified using UIDAI Biometric details.
   - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
   - Intermediary attestation on documents is exempted.
2. EKYC OTP
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
   - The documents should be e-signed.
   - Applicant details are verified using UIDAI details using OTP.
   - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
   - Intermediary attestation on documents is exempted.
3. ONLINE KYC
   - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
   - The documents should be e-signed.
   - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
   - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
   - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
   - The documents should be e-signed.
   - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
   - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
5. DIGILOCKER
   - Digital KYC performed through the documents (OVD) sourced from Digilocker.
   - Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
   - Intermediary attestation on documents is exempted.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submied need to be compulsorily self-aested by the applicant and accompanied by originals for verificaon. In case the original of any document is not produced for verificaon, then the copies should be properly aested by enes authorized for aesng the documents, as per below list menoned list.
3. If any proof of identy or address is in a foreign language, then translaon into English is required.
4. Name & address of the applicant menoned on the KYC form, should match with the documentary proof submied.
5. If correspondence & permanent addresses are different, then proofs for both have to be submied.
6. Sole proprietor must make the applicaon in his individual name & capacity.
7. For non-residents and foreign naonals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign enes, CIN is oponal; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaraon or cerfied copy of CDC (Connuous Discharge Cerficate) is to be submied.
10. For opening an account with Depository parcipant or Mutual Fund, for a minor, photocopy of the School Leaving Cerficate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Cerficate must be provided.
11. Polically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior polician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official etc.

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

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Secon D).
2. Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card.
3. If driving license number or passport is provided as proof of identy then expiry date is to be mandatorily furnished.
4. Mention idenfication/reference number if 'Z – Others (any document nofied by the central government)' is ticked.
5. Others – Identy card with applicant's photograph issued by any of the following: Central/State Government Departments, Statutory/Regulatory Authories, 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. PoA to be submied only if the submied PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Ulity bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdicons and leer issued by Foreign Embassy or Mission in India
3. Identy card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authories, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Ins-Instuons, Colleges affliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/Flat maintenance bill/Insurance copy/Ration card/Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Idenficaon Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transacons undertaken on behalf of Central/State Government, by Officials appointed by Courts, e .g. Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN enes/mullateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of instuonal clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Mullateral and Bilateral development financial instuons, State Industrial development corporaons, insurance companies registered with IRDA and public financial instuons as defined under secon 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly cerfied copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized Official of Asset Management Companies (AMCs).
2. Authorized Official of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Associaon of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD) '.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designaon & Seal should be affixed on the copy).
5. 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 permied to attest the documents.

F. Online Mode Processing of KYC:

ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be digitally signed using DSC.
- Intermediary attestation on documents (OSV) is exempted.

Types of entity	Additional Documents Required over & above PAN, POI & POA
Corporate	• Copy of Balance Sheet for the last to financial years (to be submied every year). • Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulaons, duly cerfied by the company secretary/whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copy of Memorandum and Articles of Association and Certificate of Incorporation. • Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures. • Shareholding pattern.
Partnership firm	• Copy of Balance Sheet for the last to financial years (to be submitted every year). • Cerficate of Registration (for registered partnership firms only). • Copy of Partnership Deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.
Trust	• Copy of Balance Sheet for the last to financial years (to be submied every year). • Cerficate of Registration (for registered Trusts only). • Copy of Trust Deed. • List of Trustees cerfied by Managing Trustees/CA • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF or List of Co-parceners. • Bank Pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act. •List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.
FPI Category I	• FPI Cerficate • Constitution Documents • Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) • Authorized signatories list with specimen signatures.
FPI Category II	• FPI Cerficate • Constitution Documents • Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity • Authorized signatories list with specimen signatures.

To be filled for entity
Know Your Client (KYC)
Application Form (For Non-Individuals Only)

Please fill this form in English & in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CVL CERSAI

MANDATORY

Infinity.com Financial Securities Ltd.

Application Number: ________________________

KYC Mode*: Please Tick by Click on Box

CKYC Number: ________________________

Application Type* ❑ NEW KYC ❑ Modification KYC

1. ENTITY DETAILS (Please refer guidelines)

PAN* ____________________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof)

____

Date of Incorporation* _____ _____ ____________ Place of Incorporation* ____________________

Date of Commencement* _____ ____________________ Registration Number* ____________________

Entity Type*
Please tick (✓)

❑ Private Ltd. Co. ❑ Public Ltd. Co. ❑ Body Corporate ❑ Partnership
❑ Trust/Charity/NGO ❑ HUF ❑ FPI Category I ❑ FPI Category II
❑ AOP ❑ Bank ❑ Government Body ❑ Defence Establishment
❑ Body of Individuals ❑ Society ❑ LLP
❑ Non-Government Organization
❑ Others ____________________

2. Proof of Identity* (Please refer the guidelines)

❑ Officially Valid Document(s) in respect of person authorised to transact

❑ Certificate of Incorporation/Formation ____________________ ❑ Registration Certificate _____________

❑ Memorandum of Articles and Association ❑ Partnership Deed ❑ Trust Deed

❑ Board Resolution ❑ Power of attorney granted to its manager, office, employees to transact on its behalf

❑ Activity Proof-1* (For Sole Proprietorship Only) ❑ Activity Proof-2* (For Sole Proprietorship Only)

3. Address Details* (Please refer guidelines)

A. Registered Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ____________________ District* ____________________ Pin Code* ____________________

State* ____________________________ Country* ________________________

B. Correspondence/Local Address in India (if different from above)*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ____________________ District* ____________________ Pin Code* ____________________

State* ____________________________ Country* ________________________

Applicant Digital Signature (DSC)
Not Applicable

Proof of Address* (attested copy of any one POA to be submitted-#Not more than 3 months old)

- ❑ Certificate of Incorporation/Formation ❑ Registration Certificate ❑ Other document ______________
- ❑ Latest Tel. Bill* (Landline only) ❑ Latest Electricity Bill* ❑ Latest Bank Account Statement
- ❑ Registered Lease/Sale Agreement of O ce Premises **Validity/Expiry Date of POA** (Expiry Date) __ ___ ____
- ❑ Any other proof of address document (as listed overleaf) ____

4. Contact Details* (in CAPITAL)

Email ID* ____ Mobile No. ________________________________

Email ID* ____ Mobile No. ________________________________

Tel. (Off.) ____ Fax ________________________________

5. Annexures Submitted

Number of Related Persons [ ]

6. Remarks/Additional Information

____

____

7. Applicant Declaration

	Applicant e-SIGN	Applicant Wet-signature
• I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it. • I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address. Date: ________________ (DD-MM-YYYY) Place: ________________	Not Applicable	✍ 1a/33 Signature/Thumb impression of Authorised Person

8. For Office Use Only

KYC carried out by*

KYC Date ____ ____ __________

Emp. Name: ____

Emp. Code: ____

Emp. Designation: __________________________________

Employee Signature and Stamp

❑ Self Certified document copies received (OVD)

❑ True Copies of documents received (Attested)

AMC/Intermediary Name or Code:

Pos Code:
Infinity.com Financial Securities Ltd.
CODE:

IPV Stamp & Signature Required

First Director/Trustee/Partner
Know Your Client (KYC) Annexure (For Non-Individuals Only)
Please fill this form in English & in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CVL CERSAI

MANDATORY

Infinity.com Financial Securities Ltd.

Application Number: ______________________

CKYC Number: ______________________

Please tick by click of a BOX

Application Type* ❑ NEW KYC ❑ Modification KYC

1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)

PAN* ______________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ _______________ _______________ _______________

Maiden Name* (if any) _____ _______________ _______________ _______________

Father/Spouse's Name* _____ _______________ _______________ _______________

Date of Birth* ______________________

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Nationality* ❑ Indian ❑ Other _______________

Applicant Photo

Related Person Type*

❑ Director ❑ Promoter ❑ Karta ❑ Trustee ❑ Partner ❑ Court Appointed Official Proprietor

❑ Beneficiary ❑ Authorised Signatory ❑ Beneficial Owner ❑ Beneficial Owner

❑ Others _______________ (please specify) DIN: _____________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________

❑ B - Passport Number ______________________ (Expiry Date) _____________

❑ C - Voter ID Card ______________________

❑ D - Driving Licence ______________________ (Expiry Date) _____________

❑ E - NREGA Job Card ______________________

❑ F - National Population Register Letter ______________________

❑ Z - Others ______________________ (any document notified by Central Government)

Identification Number ______________________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* _______________ District* _______________ Pin Code* _______________

State* ______________________ Country* ______________________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN
Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ______________ Country* ______________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card XXXX XXXX ________

❑ B - Passport Number ______________ (Expiry Date) ____________

❑ C - Voter ID Card ______________

❑ D - Driving Licence ______________ (Expiry Date) ____________

❑ E - NREGA Job Card ______________

❑ F - National Population Register Letter ______________

❑ Z - Others ______________ (any document notified by Central Government)

Identification Number ______________

3. Contact Details* (in CAPITAL)

Email ID* ______________________________

Mobile Number* ______________

Tel. (Off.) ______________ Tel. (Res.) ______________

4. Applicant Declaration

- I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address.

Date: ____________ (DD-MM-YYYY)

Place: ____________

Applicant e-SIGN	Applicant Wet-signature
Not Applicable	✍ Signature/Thumb impression of Applicant

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ___ ___ ______	❑ Self Certified document copies received (OVD)
Emp. Name: ____________	❑ True Copies of documents received (Attested)
Emp. Code: ____________	Pos Code:
Emp. Designation: ____________	Infinity.com Financial Securities Ltd.
	CODE:
Employee Signature and Stamp	**Institution Name & Stamp**

Second Director/Trustee/Partner

Know Your Client (KYC)
Annexure (For Non-Individuals Only)

Please fill this form in English & in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

MANDATORY

CVL

CERSAI

Infinity.com Financial Securities Ltd.

Application Number: ________________________

CKYC Number: ________________________

Please tick by click of a BOX
Application Type* ❑ NEW KYC ❑ Modification KYC

1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)

PAN* ____________________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ ___________________ ___________________ ___________________

Maiden Name* (if any) _____ ___________________ ___________________ ___________________

Father/Spouse's Name* _____ ___________________ ___________________ ___________________

Date of Birth* __________________________

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Nationality* ❑ Indian ❑ Other ____________________

Applicant Photo

Related Person Type*
❑ Director ❑ Promoter ❑ Karta ❑ Trustee ❑ Partner ❑ Court Appointed Official Proprietor
❑ Beneficiary ❑ Authorised Signatory ❑ Beneficial Owner ❑ Beneficial Owner
❑ Others ____________________ (please specify) DIN: ________________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________
❑ B - Passport Number _________________________ (Expiry Date) _______________
❑ C - Voter ID Card _________________________
❑ D - Driving Licence _________________________ (Expiry Date) _______________
❑ E - NREGA Job Card _________________________
❑ F - National Population Register Letter _________________________
❑ Z - Others _________________________ (any document notified by Central Government)
Identification Number _________________________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ____________________ District* ____________________ Pin Code* ____________________

State* ____________________________ Country* _________________________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN

Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ______________________________

Line 2 ______________________________

Line 3 ______________________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ____________ Country* ____________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card	XXXX XXXX ________	
❑ B - Passport Number	____________	(Expiry Date) ____________
❑ C - Voter ID Card	____________	
❑ D - Driving Licence	____________	(Expiry Date) ____________
❑ E - NREGA Job Card	____________	
❑ F - National Population Register Letter	____________	
❑ Z - Others	____________	(any document notified by Central Government)
Identification Number	____________	

3. Contact Details* (in CAPITAL)

Email ID* ______________________________

Mobile Number* ____________

Tel. (Off.) ____________ Tel. (Res.) ____________

4. Applicant Declaration

	Applicant e-SIGN	Applicant Wet-signature
• I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it. • I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address. Date: ____________ (DD-MM-YYYY) Place: ____________	Not Applicable	✍ Signature/Thumb impression of Applicant

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ____ ____ ________ Emp. Name: ____________ Emp. Code: ____________ Emp. Designation: ____________	❑ Self Certified document copies received (OVD) ❑ True Copies of documents received (Attested) Pos Code: Infinity.com Financial Securities Ltd. **CODE:**
Employee Signature and Stamp	**Institution Name & Stamp**

Third Director/Trustee/Partner
Know Your Client (KYC) Annexure (For Non-Individuals Only)
Please fill this form in English & in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

MANDATORY

CVL CERSAI

Infinity.com Financial Securities Ltd.

Application Number: ______________________

CKYC Number: ______________________

Please tick by click of a BOX

Application Type* ❑ NEW KYC ❑ Modification KYC

1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)

PAN* ____________________ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ ________________ ________________ ________________

Maiden Name* (if any) _____ ________________ ________________ ________________

Father/Spouse's Name* _____ ________________ ________________ ________________

Date of Birth* ____________________

Applicant Photo

Gender* ❑ M- Male ❑ F- Female ❑ T-Transgender

Nationality* ❑ Indian ❑ Other ________________

Related Person Type*

❑ Director ❑ Promoter ❑ Karta ❑ Trustee ❑ Partner ❑ Court Appointed Official Proprietor

❑ Beneficiary ❑ Authorised Signatory ❑ Beneficial Owner ❑ Beneficial Owner

❑ Others ________________ (please specify) DIN: ____________(mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

❑ A - Aadhaar Card XXXX XXXX ________

❑ B - Passport Number ____________________ (Expiry Date) ____________

❑ C - Voter ID Card ____________________

❑ D - Driving Licence ____________________ (Expiry Date) ____________

❑ E - NREGA Job Card ____________________

❑ F - National Population Register Letter ____________________

❑ Z - Others ____________________ (any document notified by Central Government)

Identification Number ____________________

2. Address Details* (Please refer guidelines overleaf)

A. Correspondence/Local Address*

Line 1* ____

Line 2 ____

Line 3 ____

City/Town/Village* ________________ District* ________________ Pin Code* ________________

State* ____________________ Country* ____________________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Applicant e-SIGN

Not Applicable

B. Permanent residence address of applicant, if different from above A/Overseas Address* (Mandatory for NRI applicant)

Line 1* ____________________

Line 2 ____________________

Line 3 ____________________

City/Town/Village* ____________ District* ____________ Pin Code* ____________

State* ____________ Country* ____________

Address Type* ❑ Residential/Business ❑ Residential ❑ Business ❑ Registered Office ❑ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

❑ A - Aadhaar Card	XXXX XXXX ________	
❑ B - Passport Number	____________	(Expiry Date) ________
❑ C - Voter ID Card	____________	
❑ D - Driving Licence	____________	(Expiry Date) ________
❑ E - NREGA Job Card	____________	
❑ F - National Population Register Letter	____________	
❑ Z - Others	____________	(any document notified by Central Government)
Identification Number	____________	

3. Contact Details* (in CAPITAL)

Email ID* ____________________

Mobile Number* ____________

Tel. (Off.) ____________ Tel. (Res.) ____________

4. Applicant Declaration

	Applicant e-SIGN	Applicant Wet-signature
• I/We hereby declare that the KYC details furnished by me 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 aware that I/we may be held liable for it. • I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/email address. Date: ________ (DD-MM-YYYY) Place: ________	Not Applicable	✍ Signature/Thumb impression of Applicant

5. For Office Use Only

KYC carried out by*	Intermediary Details*
KYC Date ____ ____ ________ Emp. Name: ____________ Emp. Code: ____________ Emp. Designation: ____________	❑ Self Certified document copies received (OVD) ❑ True Copies of documents received (Attested) Pos Code: Infinity.com Financial Securities Ltd. **CODE:**
Employee Signature and Stamp	**Institution Name & Stamp**

Annexure

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant: ____________________ PAN of the Applicant: |_|_|_|_|_|_|_|_|_|_|

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

Name & Signature of the Authorised Signatory(ies) Date |_|_| |_|_| |_|_|_|_|

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Infinity.com Financial Securities Ltd.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

1216, Maker Chamber V, Nariman Point, Mumbai - 400 021.
Tel.: 022-6618 6400, Fax: 022-2204 9195

DP ID: 12053400 & SEBI Reg. No.: IN-DP-514-2020

Inperson Verification

Signature: _______________

Name: __________________

Date: ___________________

Place: __________________

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (INDIVIDUAL)

Type of Account (Please tick whichever is applicable)

Status	Sub – Status		
❑ Individual	❑ Individual Resident ❑ Individual HUF / AOP ❑ Others (specify)	❑ Individual-Director ❑ Individual Promoter ❑ Minor	❑ Individual Director's Relative ❑ Individual Margin Trading A/C (MANTRA)
❑ NRI	❑ NRI Repatriable ❑ NRI Non-Repatriable Promoter	❑ NRI Non-Repatriable ❑ NRI – Depository Receipts	❑ NRI-Repatriable Promoter ❑ Others (specify)
❑ Foreign National	❑ Foreign - National	❑ Foreign National - Depository Receipts	❑ Others (specify)

Application No.									Date							
DP Internal Reference No.																
DP ID	1	2	0	5	3	4	0	0	Client ID							

(To be filled by the applicant in **BLOCK LETTERS** in English)
I / We request you to open a Demat Account in my / our name as per the following details: -

Sole / First Holders Details

7/33

First Name	Middle Name	Last Name	
Father / Husband Name			
Title	❑Mr. ❑Mrs. ❑Ms. ❑Other	Suffix	
Correspondence Address		Permanent Address (if different from Correspondence Address)	
City / State		City / State	
Country / PIN		Country / PIN	
Tel. No. / Fax No.		Tel. No. / Fax No.	
Mobile No.		UID	X X X X X X X X
PAN No. (Compulsory)*		UCC	
E-mail ID		Exchange Name & ID	
Date of Birth		Educational Qualification	
Nationality	❑ Indian ❑ Others (specify)	Language Spoken	
Sex	❑ Male ❑ Female		
Occupation	Service {❑ Central Govt. ❑ Statutory Body} ❑ State Govt. ❑ Public/Private Sector ❑ Professional ❑ Business ❑ Student ❑ Retired ❑ Agriculture ❑ Housewife ❑ Others (Specify) ___________________________		
Nature of business: (Products/services provided)			
Financial Details:	Income Range per annum: ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,001 to 5,00,000 ❑ Rs. 5,00,001 to 10,00,000 ❑ Rs. 10,00,001 to 25,00,000 ❑ Above Rs. 25,00,001 OR		
Net worth as on Date : _______________	Rs. _____________________________ (Net worth should not be older than 1 year)		
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)		
Any other information			

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ 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
I/ We wish to receive CAS (consolidated accounting statement)	❑ 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

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)							
IFS Code (11 character)							
Account number							
Account type	❑ Saving ❑ Current ❑ Cash Credit ❑ Others (specify)						
Bank Name							
Branch Name							
Bank Branch Address							
City		State		Country		PIN	

(i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

Joint Holders – Second Holder's Details

8/33

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑Mr. ❑Mrs. ❑Ms. ❑Other	Suffix			
Permanent Address					
City		State			
Country		Pin			
Telephone No.		Fax No.		Mobile No.	
PAN No. (Compulsory)*					
E-mail ID					
Date of Birth					
Nationality	❑ Indian ❑ Others (specify)	Sex	❑ Male ❑ Female		
Occupation	Service {❑ Central Govt. ❑ State Govt. ❑ Public/Private Sector ❑ NGO ❑ Statutory Body} ❑ Professional ❑ Business ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ______________				
Nature of business: (Products/services provided)					
Financial Details:	Income Range per annum: ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,001 to 5,00,000 ❑ Rs. 5,00,001 to 10,00,000 ❑ Rs. 10,00,001 to 25,00,000 ❑ Above Rs. 25,00,001				
Net worth as on Date : ______________ OR Rs. ______________ (Net worth should not be older than 1 year)					
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)				
Any other information					

Joint Holders – Third Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑Mr. ❑Mrs. ❑Ms. ❑Other		Suffix		
Permanent Address					
City		State			
Country		Pin			
Telephone No.		Fax No.		Mobile No.	
PAN No. (Compulsory)*					
E-mail ID					
Date of Birth					
Nationality	❑ Indian ❑ Others (specify)		Sex	❑ Male	❑ Female
Occupation	Service {❑ Central Govt. ❑ State Govt. ❑ Public/Private Sector ❑ NGO ❑ Statutory Body} ❑ Professional ❑ Business ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ____________________________				
Nature of business: (Products/services provided)					
Financial Details:	Income Range per annum: ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,001 to 5,00,000 ❑ Rs. 5,00,001 to 10,00,000 ❑ Rs. 10,00,001 to 25,00,000 ❑ Above Rs. 25,00,001				
	OR				
Net worth as on Date : _______________	Rs. ______________________________ (Net worth should not be older than 1 year)				
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)				
Any other information					

9/33

Name
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	❑ Yes MOBILE NO. +91____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No

easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Jointly ❑ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.		
❑ First Holder	❑ All Holder	Email id
	❑ Second Holder	
	❑ Third Holder	

Details of Guardian (In case the account holder is minor)

First Name											
Middle Name											
Last/Search Name											
Relationship with the applicant											
Correspondence Address											
City		State									
Country		PIN									
Telephone No.		Fax No.		Mobile No.							
PAN No. (Compulsory)*											
E-mail ID											

For NRIs

Foreign Address			
City		State	
Country		PIN	

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Joint Holder	Third Joint Holder
Name			
Signatures 10/33	✍	☒	⬠
Latest Passport size colour photograph →	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)

(S*ignatures should be preferably in black ink*)

(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph)

(Please confirm & check that all the A/c holder has to do the signature in same order in all the places wherever required)

= = = = = = = = = = = = = = = = = (Please Tear here) = = = = = = = = = = = = = = = = =

(Please preserve this Acknowledgement Receipt) Acknowledgement Receipt

Application No. : Date :

DP ID	1	2	0	5	3	4	0	0	Client ID								

We hereby acknowledge the receipt of the Account Opening Application Form : (To be filled up by Infinity.com Financial Securities Ltd.)

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signature	✍	☒	⬠

KINDLY REGISTER YOUR DEMAT ACCOUNT WITH 'www.cdslindia.com' UNDER 'EASI' FOR VIEWING OF HOLDING AND TRANSACTION STATEMENT FREE OF CHARGE.

For Infinity.com Financial Securities Ltd.

(Authorised Signatory)

Date	D	D	M	M	Y	Y	Y	Y

Nomination Form for Demat Accounts and Mutual Fund (MF) Folios
[SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025]

UCC	

TM/DP	**INFINITY.COM FINANCIAL SECURITIES LTD.**
Name & Address	1216, Maker Chambers V, Nariman Point, Mumbai - 400 021.

Nomination Registration No.	Dated

DP ID	1	2	0	5	3	4	0	0
Client ID	0	0						

❑ **I/We wish to make a nomination [Annexure A]**
[As per Nomination details given below]
I/We hereby nominate the following person(s) who shall receive all the assets held in my/our account/folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s) *

❑ **I/We do not wish to make a nomination [Annexure B]**
I/We do not wish to appoint any nominee(s) in my/our MF Folio/demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our MF Folio/demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio/demat account.

	Mandatory Details						**Additional Details******	
Nominee	Name of nominee	Share of nominee (%)**	Relationship	Postal Address	Mobile No. & Email	Identity Number ***	D.O.B. of nominee	Guardian
1. First Name								
Middle Name								
Last Name								
2. First Name								
Middle Name								
Last Name								
3. First Name								
Middle Name								
Last Name								
4. First Name								
Middle Name								
Last Name								
5. First Name								
Middle Name								
Last Name								
6. First Name								
Middle Name								
Last Name								
7. First Name								
Middle Name								
Last Name								
8. First Name								
Middle Name								
Last Name								
9. First Name								
Middle Name								
Last Name								
10. First Name								
Middle Name								
Last Name								

*Joint Accounts:

Event	Transmission of Account/Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

** if % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

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

**** to be furnished only in following conditions/circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I / We want the details of my / our nominee to be printed in the statement of holding, provided to me/us by the AMC / DP as follows; (please tick, as appropriate)
   ❑ Name of nominee(s) ____ ❑ Nomination: Yes / No
2) I hereby authorize ___________________________________(nominee number ______) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to _____% of assets in the account/folio or Rs. _____________.
   (strike off portions that are not relevant)
3) This nomination shall supersede any prior nomination made by me/us, if any.

	Name(s) of holder(s)		Signature(s) of holder	Witness Signature*
1)		☞ (15)		W
2)				
3)				

*** Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.**

Name & Address - Witness 1	Name & Address - Witness 2	Name & Address - Witness 3

Rights, Entitlement and Obligation of the investor and nominee:

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

Tramnsmission aspects

- AMCs/DPs shall transmit the folio/account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion/updation of KYC of the nominee(s). The nomimee is not required to provide affidavits, indemnitites, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nomineees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		**% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'**			
Nominee	**% share**	**Nominee**	**% initial share**	**% of A's share to be apportioned**	**Total % share**
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	**100%**	-	**40%**	**60%**	**100%**

Infinity.com Financial Securities Ltd.

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.

1216, Maker Chamber V, Nariman Point, Mumbai - 400 021.
Tel.: 022-6618 6400, Fax: 022-2204 9195

DP ID: 12053400 & SEBI Reg. No.: IN-DP-514-2020

Inperson Verification

Signature: _______________

Name: __________________

Date: ___________________

Place: __________________

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT
(For entities other than Individuals)

Type of Account (Please tick whichever is applicable)

Status						Sub – Status
❑ Body Corporate ❑ CM	❑ Banks ❑ FI	❑ Trust ❑ Clearing House	❑ Mutual Fund ❑ Other (Specify)	❑ OCB	❑ FII	To be filled by the DP

Date of Incorporation			
SEBI Registration No. (If Applicable)		SEBI Registration Date	
RBI Registration No. (If Applicable)		RBI Approval Date	
Nationality	❑ Indian ❑ Others (specify)________________________________		

Application No.								Date	
DP Internal Reference No.									
DP ID	1	2	0	5	3	4	0	0	Client ID

(To be filled by the applicant in **BLOCK LETTERS** in English)
I / We request you to open a Demat Account in my / our name as per the following details: -

Sole / First Holders Details

12/33

Name							
Search Name							
Correspondence Address				Regd. Address (if different from Correspondence Address)			
City		State		City		State	
Country		PIN		Country		PIN	
Tel. No.		Fax No.		Tel. No.		Fax No.	
Mobile No.				UCC			
PAN No. (Compulsory)*				UID			
E-mail ID				Exchange Name & ID			
Date of Birth				Educational Qualification			
Nationality	❑ Indian	❑ Others (specify)		Language Spoken			
Sex	❑ Male	❑ Female					
Occupation	Service	{❑ Central Govt. ❑ State Govt. ❑ Public/Private Sector ❑ Statutory Body}					
	❑ Professional ❑ Housewife	❑ Business ❑ Others (Specify) ___________________________	❑ Student	❑ Retired	❑ Agriculture		
Nature of business: (Products/services provided)							
Financial Details:	Income Range per annum:	❑ Up to Rs. 1,00,000	❑ Rs. 1,00,001 to 5,00,000				
	❑ Rs. 5,00,001 to 10,00,000	❑ Rs. 10,00,001 to 25,00,000	❑ Rs. 25,00,001 to 100,00,000				
	❑ More than Rs. 100,00,000	OR					
Net worth as on Date : ______________	Rs. ___________________________ (Net worth should not be older than 1 year)						
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)						
Any other information							

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be `Yes')	❑ 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
I/ We wish to receive CAS (consolidated accounting statement)	❑ 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

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)							
IFS Code (11 character)							
Account number							
Account type	❑ Saving ❑ Current ❑ Cash Credit ❑ Others (specify)						
Bank Name							
Branch Name							
Bank Branch Address							
City		State		Country		PIN	

(i) Photocopy of the cheque/cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

Joint Holders – Second Holder's Details

13/33

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	❑Mr. ❑Mrs. ❑Ms. ❑Other	Suffix			
Permanent Address					
City		State			
Country		Pin			
Telephone No.		Fax No.		Mobile No.	
PAN No. (Compulsory)*					
E-mail ID					
Date of Birth					
Nationality	❑ Indian ❑ Others (specify)	Sex	❑ Male ❑ Female		
Occupation	Service {❑ Central Govt. ❑ State Govt. ❑ Public/Private Sector ❑ NGO ❑ Statutory Body} ❑ Professional ❑ Business ❑ Student ❑ Retired ❑ Housewife ❑ Others (Specify) ________________				
Nature of business: (Products/services provided)					
Financial Details:	Income Range per annum: ❑ Up to Rs. 1,00,000 ❑ Rs. 1,00,001 to 5,00,000 ❑ Rs. 5,00,001 to 10,00,000 ❑ Rs. 10,00,001 to 25,00,000 ❑ Rs. 25,00,001 to 100,00,000 ❑ More than Rs. 100,00,000 OR				
Net worth as on Date : ______________	Rs. ________________ (Net worth should not be older than 1 year)				
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)				
Any other information					

Joint Holders – Third Holder's Details

First Name												
Middle Name												
Last Name												
Father / Husband Name												
Title	❑Mr. ❑Mrs. ❑Ms. ❑Other							Suffix				
Permanent Address												
City						State						
Country						Pin						
Telephone No.				Fax No.				Mobile No.				
PAN No. (Compulsory)*												
E-mail ID												
Date of Birth												
Nationality	❑ Indian	❑ Others (specify)						Sex	❑ Male	❑ Female		
Occupation	Service ❑ Professional ❑ Housewife	{❑ Central Govt. ❑ Statutory Body} ❑ Business ❑ Others (Specify) ___________	❑ State Govt. ❑ Student	❑ Public/Private Sector ❑ Retired	❑ NGO							
Nature of business: (Products/services provided)												
Financial Details:	Income Range per annum: ❑ Rs. 5,00,001 to 10,00,000 ❑ More than Rs. 100,00,000	❑ Up to Rs. 1,00,000 ❑ Rs. 10,00,001 to 25,00,000 OR	❑ Rs. 1,00,001 to 5,00,000 ❑ Rs. 25,00,001 to 100,00,000									
Net worth as on Date : ______________	Rs. ___________________________ (Net worth should not be older than 1 year)											
Please tick, if applicable	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (PEP)											
Any other information												

Name
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

SMS Alert Facility Refer to Terms & Conditions given as Annexure-2.4	❑ Yes MOBILE NO. +91______________________________ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No

easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

I/We wish to receive dividend / interest directly in to my bank account 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

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures 14/33	✍	☒	⬠
Latest Passport size colour photograph →	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)	(Please sign across the photograph) (Excluding face)

(S*ignatures should be preferably in black ink*)

(Please confirm & check that all the A/c holder has to do the signature in same order in all the places wherever required)

= = = = = = = = = = = = = = = (Please Tear here) = = = = = = = = = = = = = = =

(Please preserve this Acknowledgement Receipt) **Acknowledgement Receipt**

Application No. : Date :

DP ID	1	2	0	5	3	4	0	0	Client ID								

We hereby acknowledge the receipt of the Account Opening Application Form : (To be filled up by Infinity.com Financial Securities Ltd.)

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Specimen Signature	✍	☒	⬠

KINDLY REGISTER YOUR DEMAT ACCOUNT WITH 'www.cdslindia.com' UNDER 'EASI' FOR VIEWING OF HOLDING AND TRANSACTION STATEMENT FREE OF CHARGE.

For Infinity.com Financial Securities Ltd.

(Authorised Signatory)

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, EBI (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.

13. The stock broker/stock broker and depository participant shall not directly/indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. 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.

15. 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.

16. 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.

17. 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

18. 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

___________________ First/Sole Holder

___________________ Second Joint Holder

___________________ Third Joint Holder

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.

19. 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

20. 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.

21. 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

22. 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.

23. 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

24. 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.

25. 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

26. 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

27. 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

28. 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.

29. 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.

30. 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.

31. 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

32. 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.

33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

16/33

____________________	____________________	____________________
First/Sole Holder	Second Joint Holder	Third Joint Holder

VOLUNTARY

DEMAT DEBIT AND PLEDGEINSTRUCTION(DDPI) IN FAVOUR OF INFINITY.COM FINANCIAL SECURITIES LIMITED

I/We____

(Sole/First Holder) Jointly with ____

(Second Holder) And ____

(Third Holder) Residing/registered office/place of business at ______________________________

____ hold Beneficial Owner Account number (BO ID) ____________________with Central Depository Services (India) Limited (CDSL), through **Infinity.com Financial Securities Limited** a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID. **12053400**. And Whereas I/We am/are desirous to buy and sell securities through **Infinity.com Financial Securities Limited**, a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Ltd) bearing SEBI single registration number **INZ000232136**.

Whereas I/we authorize **Infinity.com Financial Securities Limited** to operate my/our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I/We hereby am/are fully aware and understand that this DDPI is voluntary and I/we have been fully made aware of the explicit authority consented by me/us under this executed document.

I/We do hereby authorize **Infinity.com Financial Securities Limited** (hereinafter referred to as the "Stock Broker/ Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

Sr. No.	Purpose/Nature of Instruction	Client Signature
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 me/ us on the Stock Exchange through **Infinity.com Financial Securities Limited**.	First Holder: 17/33 ________ Second Holder: ________ Third Holder: ________
2.	Pledging/re-pledging of securities in favour of trading member (TM) /clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed by the clients on the Stock Exchange.	First Holder: 18/33 ________ Second Holder: ________ Third Holder: ________
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	First Holder: 19/33 ________ Second Holder: ________ Third Holder: ________
4.	Tendering shares in open offers through Stock Exchange platforms	First Holder: 20/33 ________ Second Holder: ________ Third Holder: ________

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker/ stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/we undertake to indemnify the stock broker/stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.

The stock broker/stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker/depository participant may think fit.

I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in witting by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at: 1216, Maker Chambers V, Nariman Point Mumbai - 400021. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

List of the Stock Broker Designated Demat Account:

Sr. N0.	DP TYPE	DP NAME /DPID	CM NAME	CMBPID/CLIENT ID	A/C TYPE
1.	NSDL	Axis Bank Ltd.-IN-300484	Infinity.com financial Sec.Ltd.	IN654730	Pool-BSE
2.	NSDL	Axis Bank Ltd.-IN-300484	Infinity.com financial Sec.Ltd.	IN562582	Pool-NSE
3.	CDSL	Axis Bank Ltd.-13027500	Infinity.com financial Sec.Ltd.	00002745	Pool-BSE
4.	CDSL	Axis Bank Ltd.-13027500	Infinity.com financial Sec.Ltd.	00002730	Principal-BSE
5.	CDSL	Axis Bank Ltd.-13027500	Infinity.com financial Sec.Ltd.	00002555	Pool-NSE
6.	CDSL	Infinity.com Fin.Sec.Ltd-12053400	Infinity.com financial Sec.Ltd.	00049491	CORPORATE TM/CM CUSPA
7.	NSDL	Axis Bank Ltd.-IN-300484	Infinity.com financial Sec.Ltd.	30311416	Client Securities Margin Pledge A/c.
8.	CDSL	Infinity.com Fin.Sec.Ltd-12053400	Infinity.com financial Sec.Ltd.	00049109	TM/CM/CMPA
9	CDSL	ICCL 11000010	Infinity.com financial Sec.Ltd.	00018454	BSE EARLY PAY-IN A/C
10	CDSL	NSCCL 11000011	Infinity.com financial Sec.Ltd.	00020546	NSE EARLY PAY-IN A/C

This document shall be subject to the jurisdiction of the Courts in Mumbai.

Dated at Mumbai ___________ day of ______________________, 20______.

	First/Sole Holder	Second Holder	Third Holder
Signature	✍ 21/33	☒	

Witness: (1)

Signature: ____________________________________

Name: ____________________________________

Address: ____________________________________

____

Witness: (2)

Signature: ____________________________________

Name: ____________________________________

Address: ____________________________________

____

We hereby accept to exercise the authorities conferred upon us in terms of the purposes mentioned hereinabove. This document is in conformity with the conditions as specified in SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022.

For Infinity.com Financial Securities Limited

Diretor/Authorised Signatory

Date : ________________________

Place: ________________________

If HUF, Co-parceners Signature:

1) ____________________________________

2) ____________________________________

3) ____________________________________

4) ____________________________________

Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off'' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository

✍

22/33

makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository 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 providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository 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.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration / modification (Please cancel out what is not applicable).

BOID	1	2	0	5	3	4	0	0		0	0						

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name :____

Second Holder's Name :____

Third Holder's Name :____

Mobile Number on which messages are to be sent	+91										

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts:- Please note that the new mobile number will be updated for SMS alert.)

The mobile number is registered in the name of: ________________________________

Email ID: ____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

23/33

Signatures Sole / First Holder ____________ Second holder ____________ Third Holder ____________

Place: __________ Date: __________

UNDERTAKING OF DECLARATION

To,
Infinity.com Financial Securities Ltd.(DP-ID-12053400)
Regd. Office: 1216, Maker Chamber V,
Nariman Point, Mumbai - 400 021.

Dear Sir / Madam,

With reference to my/our application for opening of a demat account with you, I/we hereby confirm that I am a/we are Non-resident Indian/ s/foreign Nationals/s Individual/s. I/we also confirm that whenever I/we change the residential/correspondence/permanents address, I/we will inform the same to DP.

24/33

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Signatures	_________________ Sole / First Holder	_________________ Second holder	_________________ Third Holder

Place: _______________ Date: _______________

FEMA DECLARATION FORM

To,
Infinity.com Financial Securities Ltd.(DP-ID-12053400)
Regd. Office: 1216, Maker Chamber V,
Nariman Point, Mumbai - 400 021.

Dear Sir / Madam,

With reference to my / our application for opening of a demat account with you, I/ we hereby confirm that I am a /we are Non-resident Indian/ s/foreign Nationals/s Individual/s. I/we also confirm that I / we have complied with **FEMA** (erstwhile FERA) Regulations and I/we would continue to comply with **FEMA (FERA)** regulations.

25/33

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Signatures	_________________ First Holder	_________________ Second holder	_________________ Third Holder
Name	_________________	_________________	_________________

Place: _______________ Date: _______________

(*To be signed only if second and.or third holder/s is/are NRI/s or FN/s. Not to be signed if second if second and/or third holder/s is/are resident Indian/s)

Date:

To,

Infinity.com Financial Securities Ltd.(DP-ID-12053400)

Regd. Office: 1216, Maker Chamber V,

Nariman Point, Mumbai - 400 021.

Sir,

Sub: Updating of My Demat Account master.

I have registered with you in BSE/NSE (Cash Market) having A/c. Code No : ________________________

I kindly request you to update my demat account master in following manner and henceforth transfer my holdings to the **NEW ACCOUNT** as mentioned below :

Old A/c No.	New A/c No.
1) DP ID :_______________________________	DP ID : _______________________________
2) Client ID : _____________________________	Client ID : _____________________________

Thanking you,

Yours faithfully,

✍

26/33

— —

[For-non-individual]

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP)

Name of holder ____PAN of the holder_______________________

Sr. No	Name of the Authorized signatories /Promoters / Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			❑ PEP ❑ RPEP
			❑ PEP ❑ RPEP
			❑ PEP ❑ RPEP
			❑ PEP ❑ RPEP
			❑ PEP ❑ RPEP

✍

27/33

— —

NRI Clients Declaration (P. O. Box No.)

I ____ hereby inform you that the fresh address (other than PO box no) will be provided to DP as and when the same is changed in future.

Kindly note that below is my current foreign address.

Foreign Address

(This declaration part form of DP Account Opening Form)

To,
Infinity.com Financial Securities Ltd. (DP-ID-12053400)
Regd. Office: 1216, Maker Chamber V,
Nariman Point, Mumbai - 400 021.

Declaration by the BO for Understanding the terms and conditions and other information filled-up in the Demat Account Opening Form

I/We the sole holder/Joint/Joint holders/Guardians (in case of minor) hereby declare(s) that we have been explained and understand the contents and information duly filled-up in the Demat Account Opening Form and also have been explained and understood the various term(s) and condition(s) as laid down by CDSL.

This declaration is given to the fact that we have signed the Demat Account Opening Form other than in English language.

Client Name															
Account No.															

✍
28/33

____
Client Signature

Place:

Date:

Infinity.com Financial Securities Ltd. (DP-ID-12053400)
Regd. Office: 1216, Maker Chamber V,
Nariman Point, Mumbai - 400 021.

Dear Sir / Madam,

Sub: Subscription to CDSL's internet based service "Easi" (electronic access to securities information)

Demat account no: 12053400-000______________

I/We are registered for CDSL's internet based services "easi". As "easi" provides a facility to view, print/download account statement and transaction details, I/we opt not to receive the transaction statement henceforth in physical form.

I/We are aware that you shall send us a 'physical statement' of account atleast once a quarter.

However, if account statement/transaction statement is required by me/us in physical form at such intervals as specified by me, I/we agree to make payment of the necessary fees/charges, if any, as may be specified by you from time to time.

Thanking You,

Yours truly,

29/33
✍

Signatures	Sole / First Holder	Second holder	Third Holder

Place: ________________ Date: ________________

DECLARATION IN CASE OF HUF

From :

____

Name & Address of HUF)

____

____

____

To,

Infinity.com Financial Securities Ltd.(DP-ID-12053400)

Regd. Office: 1216, Maker Chamber V, Nariman Point, Mumbai - 400 021.

Dear Sir,

Re: BO Account No. 12053400 - 000

I, as a Karta of ____ hereby submit the details of family members of my HUF as follows :

Name of family member	Sex (M/F)	Date of Birth	Relationship with Karta
			SELF

Thanking you,

Yours truly,

✍

30/33

(Name & signature of Karta with HUF stamp)

Board Resolution (Format) to be printed on Company's Letterhead

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF BOARD OF DIRECTORS OF ………………….(COMPANY NAME) ON……………………(DATE OF BOARD MEETING) AT……………………(OFFICE ADDRESS).

"RESOLVED THAT a Beneficiary Depository Account be opened with Infinity.com Financial Securities Ltd., a Depository Participant of CDSL, in the name and style of ………………………….(Company Name) and Mr./Mrs……….........................……(Name of Director), Director and Mr./Mrs. ……………..............……..(Name of Director), Director of the Company be and is/are hereby authorized *severally/jointly to sign and executed all the forms, letters, undertakings, deeds and all other documents pertaining to opening of the above stated DP account on behalf of the company.

The specimen's signatures of the authorized signatories are as follows:

Sr. No.	Name	Designation	Mode of operation	Signature

"FURTHER RESOLVED THAT Mr./Mrs……………(Name of Director),Director and Mr./Mrs. ………………….(Name of Director), Director of the Company be and are hereby authorized *severally/jointly to operate the said account on behalf of the Company.

"FURTHER RESOLVED THAT the said resolution be communicated by Mr./Ms……………(Name of Director), Director of the company."

Certified True Copy

For ……………………………..(Company Name)

Director

Rate Structure of **Infinity. com Financial Securities Ltd.** w.e.f. May 01, 2010 Depository Participant of CDSL 1216, Maker Chamber V , Nariman Point, Mumbai – 400 021 Tel. 022-6618 6400, Fax. 022-2204 9195 DP ID: 12053400 & SEBI Reg. No. IN-DP-514-2020		
Services Offered by IFSL DP.	For In-house Clients	For Walk-In Clients
Account opening charge	Nil	Nil
Annual Maintenance charge Individual Corporate	❑ Quarterly ❑ Yearly Rs. 390/- Rs. 890/- (Rs.500/- payable to CDSL)	❑ Quarterly ❑ Yearly Rs.640/- Rs.1140/- (Rs.500/- payable to CDSL
Custody charge	Nil	Nil
Dematerialisation	Rs.5/- per certificate + courier charges of Rs.30/-	Rs.6 /- per certificate + courier charges of Rs.30/-
Demat rejection	Rs.30/- per DRF + courier charges of Rs. 30/-	Rs.30/- Per DRF + courier charges of Rs.30/-
Rematerialisation	Rs.20/- per every 100 shares or part thereof or Rs.20/- per certificate whichever is higher + Rs. 30/- courier charges	Rs.20/- per every 100 shares or part thereof or Rs.20/- per certificate whichever is higher + Rs. 30/- courier charges
Transaction (Debit per ISIN)	0.02% of value* of securities or minimum of Rs. 20/- whichever is higher	0.02% of value* of securities or minimum of Rs. 20/- whichever is higher
Transaction (Credit)	Nil	Nil
Failed instruction	Rs. 10/- per transaction	Rs.10/- per transaction
Pledge Creation	Rs. 50/- per transaction or 0.04% whichever is higher	Rs. 50/- per transaction or 0.04% whichever is higher
Pledge Creation Confirmation	Rs. 50/- per transaction or 0.04% whichever is higher	Rs. 50/- per transaction or 0.04% whichever is higher
Pledge Closure	Rs. 50/- per transaction	Rs. 50/- per transaction
Pledge Closure Confirmation	Rs. 50/- per transaction	Rs. 50/- per transaction
Pledge Invocation	Rs. 50/- per transaction or 0.04% whichever is higher	Rs. 50/- per transaction or 0.04% whichever is higher
Margin Pledge/Unpledge	Rs. 10/- per transaction	Rs. 10/- per transaction
Margin Repledge/Release of Margin Repledge	Rs. 10/- per transaction	Rs. 10/- per transaction
Margin Invocation	Rs. 10/- per transaction	Rs. 10/- per transaction

Notes :-

- Annual Maintenance Charges (AMC) will be levied on pro-rata basis for the first financial year. Thereafter AMC will be levied on the beginning of every Quarter / Financial Year (as opted by client). In case of Account closure, AMC will not be refunded for part of the quarter however in case of Annual Payment, AMC will be refunded for remaining quarter/s.
- GST will be charged in addition to the above mentioned rates.
- Any service not covered above will be charged separately.
- Charges are subject to revision at the company's sole discretion and also due to changes in the tariff rates of CDSL.
- IFSL reserves the right to change the rates from time to time by giving one month notice.

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30/33

Signature of First Holder

Signature of Second Holder

Signature of Third Holder

To,

Infinity.com Financial Securities Ltd.

1216, Maker Chamber V, Nariman Point, Mumbai - 400 021.
Tel.: 022-6618 6400, Fax: 022-2204 9195
DP ID: 12053400 & Sebi Reg. No.: IN-DP-514-2020

Date: ________________________

Dear Sir/Madam,

- ❑ I/We do not want to avail the BSDA (Basic Services Demat Account) facility in respect of my/our below mentioned demat account with you.
- ❑ I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form
- ❑ I/We wish to avail the BSDA facility for my/our below mentioned demat account number
- ❑ Opt out of BSDA

DP ID	1	2	0	5	3	4	0	0	Client ID	0	0						

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guideline issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first/Sole holder also hereby declare that I do not have/propose to have any other demat account across depositories as a first/sole holder.

	Signature
Sole/First Holder	✍ 31/33
Second Holder	☒
Third Holder	

The features of the Basic Service Demat Account (BSDA) are as follows:

A. Criteria:

Individuals with only one Demat account where they are the sole or first holder shall be eligible to have BSDA account provided that the value of securities held in the Demat account does not exceed Rupees Two Lakhs at any point of time. An individual can have only one BSDA in his/her name across all depositories.

B. Charges:

(i) Up to Rs. 50,000 there will be NIL AMC charged.

(ii) For value of holding from Rs. 50,001 to Rs. 200,000 AMC will be up to Rs. 100, and

(iii) The value of holding in such BSDA account exceeds Rs. 200,000 the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards.

(Please Tear here)

ACKNOWLEDGEMENT RECEIPT

Received BSDA declaration form from:

DP ID	1	2	0	5	3	4	0	0	Client ID	0	0						
Name																	
Address																	

For Infinity.com Financial Securities Ltd.

Date: (Authorised Signatory)

Annexure II

Date: ____________________

Dear Sir/Madam,

Sub: Update Email and contact detail (Tel. No.: ____________________) for communication.

I/We. Demat account with you having

I/We request you to send Electronic Transaction - cum - Holding Statement/CAS and any other communication at Sole/First Holders existing Email ID ___________________________________(Self/ spouse/dependent children/ dependent parents) or

New email address ____ (Self/ spouse/dependent children/ dependent parents).

Further, I/We request you to send all SMS at Sole/First Holders existing mobile no Tel No. : . (Self/ spouse/ dependent children /dependent parents) or New mobile no. ________________________________ . (Self/ spouse/ dependent children /dependent parents).

1st Holder's Signature	✍ 32/33
2nd Holder's Signature	☒
3rd Holder's Signature	

Date: ____________________

For Non-Individuals

To,

Infinity. Com Financial Securities Ltd.

1216, Maker Chambers V, Nariman Point, Mumbai - 400 021.

Ref: Application for Opening Demat account with Infinity.Com Financial Securities Ltd.

In connection with our application for opening demat account with you, we hereby certify that following are the individuals who exercise ultimate effective control over us, as beneficial owner(s).

Sr. No.	Name of the ultimate beneficial owner	% of holding	Address of the ultimate beneficial owner	PAN	Photograph of the ultimate beneficial owner

We further declare that in case of any change in the aforesaid details, we shall intimate you in writing.

Yours faithfully,

For XYZ Ltd.

Director/Authorised Signatory

FATCA/CRS DETAILS

Client Code	Date: ________________

The below information is required for all applicant(s) / guardian / PoA holder.

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Are You a Tax Resident of Country other than India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
2	Is your Country of Birth/Citizenship other than India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
3	If your Residence address/Mailing address/Telephone No. other than in India?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
4	Is the POA holder/person to whom signatory authority is given, covered under any of the categories 1, 2 or 3 above?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No

If you have answered YES to any of above, please provide the below details

Sr. No.	Details	1st Holder	2nd Holder	3rd Holder
1	Country of Residence			
2	Nationality			
3	Tax Identification No. or Reason for not providing TIN			
4	Identification Type (TIN or Other, please specify)			
5	Residence address for tax purposes (include City, State, Country & Pin code)			
6	Address Type	❑ Residential ❑ Business ❑ Regd. Office	❑ Residential ❑ Business ❑ Regd. Office	❑ Residential ❑ Business ❑ Regd. Office
7	City of birth			
8	Country of birth			

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

I/We agree to indemnify Infinity.com Financial Securities Ltd. in respect of any false, misleading, inaccurate and incomplete information regarding my/our "U.S. person" status for U.S. federal income tax purposes. or in respect of any other information as may be required under applicable tax laws.

	First / Guardian Applicant	Second Holder	Third Holder
Name			
Signature	✍ 33/33	☒	⬠
PAN			

FATCA-CRS Instruction

Details under FATCA/CRS/Foreign Tax Laws: 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 to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In certain circumstances (including if we do not receive a valid self -certification from you) we may be obliged to share information on your account with relevant tax authorities/appointed agencies. If you have any questions about your tax residency, please contact your tax advisor. Should there be any **change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.** 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. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date: ________________________

DP ID	1	2	0	5	3	4	0	0	Client ID								

To,
Infinity.com Financial Securities Ltd.
1216, Maker Chamber V,
Nariman Point, Mumbai - 400 021.

Dear Sir/Madam,
I/We hereby state that: [Select one of the options given below]

☐ **OPTION 1:**

I/We request you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/registered for eDis/executed PMS agreement in favour of/with ________________________________(name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member/by PMS manager/for executing delivery instructions through eDIS.
Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	✍	✍	✍

OR

☐ **OPTION 2:**

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/ registered for eDis/executed PMS agreement in favour of/with ____ (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.
Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	✍	✍	✍

= (Please Tear here) =

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	5	3	4	0	0	Client ID								

Name of the Sole / First Holder	
Name of Second joint Holder	
Name of Third joint Holder	

For Infinity.com Financial Securities Ltd.

(Authorised Signatory)

CDSL/OPS/DP/POLCY/2024/289 **May 30, 2024**

SEBI CIR - INVESTOR CHARTER FOR DEPOSITORIES AND DEPOSITORY PARTICIPANTS

DPs are advised to refer to the SEBI Circular no. **SEBI/HO/MRD/MRD-PoD-1/P/CIR/2024/66 dated May 29, 2024** regarding **Investor Charter for Depositories and Depository Participants [refer Annexure].**

DPs are advised to take note of the same and ensure compliance.

Queries regarding this communiqué may be addressed to: CDSL – Helpdesk Emails may be sent to: dprtasupport@cdslindia.com **and connect through our IVR Number 022-62343333** .

For and on behalf of
Central Depository Services (India) Limited

sd/-

Nilesh Shah
Asst. Vice President

CIRCULAR

SEBI/HO/MRD/MRD-PoD-1/P/CIR/2024/66 **May 29, 2024**

All Registered Depositories and Depository Participants

Sir / Madam,

Subject: Investor Charter for Depositories and Depository Participants

1. In order to facilitate investor awareness about various activities such as dematerialization/rematerialization of securities, transmission of securities, settlement instruction, consolidated account statement, grievance redressal mechanism etc., SEBI in November 2021 has formulated the Investor Charter for Depositories and Depository Participants (DPs) containing the information for investors on aforesaid issues and advised Depositories to disclose the same on their respective websites.

2. In view of the recent developments in the securities market including introduction of Online Dispute Resolution (ODR) platform and SCORES 2.0, it is felt necessary to modify the Investor Charter for Depositories and DPs, inter-alia, detailing the services provided to Investors, Rights of Investors, various activities of Depository through DPs with timelines, Dos and DON'T's for Investors, Responsibilities of Investors, Code of Conduct for Depositories and DPs and Grievance Redressal Mechanism which is placed at **Annexure**.

3. In this regard, Depositories are advised to publish Investor Charter on their websites. Further, Depositories should ask DPs to bring to the notice of their clients (existing as well as new clients) through disclosing the Investor Charter on their respective websites, provide a copy of Investor Charter as a part of account opening kit to the clients, through emails/letters etc.

4. The circular shall be effective from the date of issuance.

5. All Recognised Depositories are advised to:

    5.1. take steps to make necessary amendments to the relevant bye-laws, rules and regulations for the implementation of this circular; and

    5.2. communicate to SEBI, the status of the implementation of the provisions of this circular in the Monthly Development Report.

6. This Circular is issued in exercise of the powers conferred under Section 11 (1) of the Securities and Exchange Board of India Act, 1992, to protect the interests of investors in securities and to promote the development of, and to regulate the securities market.

7. The Circular is issued with the approval of the competent authority.

8. This circular is available on SEBI website www.sebi.gov.in under the categories "Legal ➔ Circulars".

Yours faithfully,

Naveen Sharma
General Manager
Market Regulation Department
naveens@sebi.gov.in
Phone No.: 022-26449709

Annexure

Investor Charter for Depositories and Depository Participants

1. **Vision**
   Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

2. **Mission**
   - To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
   - To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
   - To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

3. **Details of business transacted by the Depository and Depository Participant (DP)**

   A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [*link to be provided by Depositories*]

4. **Description of services provided by the Depository through Depository Participants (DP) to investors**

   (1) Basic Services

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days

Sr. No.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
4.	Re-conversion / Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

(2) Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account(BSDA) [*link to be provided by Depositories]*[1] b. Transposition cum dematerialization [*link to be provided by Depositories]*[2] c. Linkages with Clearing System [*link to be provided by Depositories]* [3] d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly(if no transactions) .
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

Sr. No.	Type of Activity /Service	Brief about the Activity / Service
		a. E-account opening: Details available on the link [*link to be provided by Depositories}*[4] b. Online instructions for execution: Details available on the link [*link to be provided by Depositories}*[5] c. e-DIS / Demat Gateway: Details available on the link [*link to be provided by Depositories}*[6] d. e-CAS facility: Details available on the link [*link to be provided by Depositories}*[7] e. Miscellaneous services: Details available on the link [*link to be provided by Depositories}*[8]

5. **Details of Grievance Redressal Mechanism**

The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [link to be provided by Depositories] Two Level Review for complaint/grievance against DP: - First review done by Designated Body - Second review done by SEBI (ii) Respective Depository's web portal dedicated for the filing of compliant [link to be provided by Depositories] (iii) Emails to designated email IDs of Depository [link to be provided by Depositories] b. Offline mode [details of link to the form to be provided by Depositories] The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.
2.	Online Dispute Resolution (ODR)	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then

	platform for online Conciliation and Arbitration	the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [SMARTODR link to be provided by Depositories]
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	➢ Investor to approach Market Participant for redressal of complaint ➢ If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal. ➢ Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. ➢ Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. ➢ If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. ➢ During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. ➢ If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. ➢ The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

6. **Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant**

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	▪ Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
	▪ Participant surrenders the participation by its own wish.	

7. **Dos and Don'ts for Investors** *[link to be provided by the Depositories]*

Sr. No.	Guidance
i.	Always deal with a SEBI registered Depository Participant for opening a demat account.
ii.	Read all the documents carefully before signing them.
iii.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
iv.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
v.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
vi.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
vii.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
viii.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
ix.	Do not share password of your online trading and demat account with anyone.
x.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
xi.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
xii.	Demat is mandatory for any transfer of securities of Listed public limited companies.

Sr. No.	Guidance
xiii.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
xiv.	Keep a record of documents signed, DIS issued and account statements received.
xv.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
xvi.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
xvii.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
xviii.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
xix.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
xx.	Beware of assured/fixed returns.

8. Rights of investors *[link to be provided by the Depositories]*

i. Receive a copy of KYC, copy of account opening documents.
ii. No minimum balance is required to be maintained in a demat account.
iii. No charges are payable for opening of demat accounts.
iv. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
v. You can open more than one demat account in the same name with single DP/ multiple DPs.
vi. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
vii. Pledge and /or any other interest or encumbrance can be created on demat holdings.
viii. Right to give standing instructions with regard to the crediting of securities in demat account.
ix. Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
x. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.

xi. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
xii. Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
xiii. Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
xiv. Right to opt out of the Depository system in respect of any security.

9. <u>Responsibilities of Investors</u> *[link to be provided by the Depositories]*

i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
ii. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
iii. Read all documents and conditions being agreed before signing the account opening form.
iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
v. Always mention the details like ISIN, number of securities accurately.
vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
vii. Regularly verify balances and demat statement and reconcile with trades / transactions.
viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

10. <u>Code of Conduct for Depositories</u> *[link to be provided by the Depositories]*
(Part D of Third Schedule of SEBI (D & P) regulations, 2018)

A Depository shall:

(a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
(b) adopt appropriate due diligence measures.
(c) take effective measures to ensure implementation of proper risk management framework and good governance practices.

(d) take appropriate measures towards investor protection and education of investors.
(e) treat all its applicants/members in a fair and transparent manner.
(f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
(g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
(h) endeavor for introduction of best business practices amongst itself and its members.
(i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
(j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
(k) segregate roles and responsibilities of key management personnel within the depository including
   a. Clearly mapping legal and regulatory duties to the concerned position
   b. Defining delegation of powers to each position
   c. Assigning regulatory, risk management and compliance aspects to business and support teams
(l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
(m)monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

11. Code of Conduct for Participants *[link to be provided by the Depositories]*
(Part A of Third Schedule of SEBI (D & P) regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to—
   (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
   (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
   (c) inquiries from investors are adequately dealt with;
   (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation

request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.

5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with the Board as and when required.
11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not

lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.

18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

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