

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

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

SEBI Registration No		Registered / Correspondence Office Address
CDSL/NSDL	IN-DP-676-2022	6th Floor, IDBI Tower, WTC Complex, Cuffe Parade, Colaba, Mumbai - 400 005. Tel : 022-40691700 Website : www.idbicapital.com Trading Portal : www.idbidirect.in .

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

Depository	EMAIL ID	Telephone Number
NSDL	relations@nsdl.co.in	1800-222-990
CDSL	complaints@cdslindia.com	1800-210-9911

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

	Name	Telephone	EMAIL ID
MD & CEO	Mr. Kamal Kant Upadhyay	022-40691700	md@idbicapital.com
Compliance Officer	Mr. Pushkar Balkrishna Vartak	022-40691700	compliance@idbicapital.com

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

Filing of complaints on SCORES Easy & Quick

A. Register on SCORES portal

B. Mandatory details for filing complaints on SCORES:

1. Name, PAN, Address, Mobile Number, Email ID

C. Benefits:

1. Effective communication

2. Speedy redressal of the grievances SCORES website

(<https://scores.sebi.gov.in>)

IMPORTANT INSTRUCTIONS

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

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

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



FIRST HOLDER

1 - PART - A



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

Application No. :

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

A. PERSONAL DETAILS

1. Name of Applicant	FIRST NAME	MIDDLE NAME	LAST NAME
2. Maiden Name	FOR MARRIED WOMEN ONLY		
3. Father's / Spouse Name	FIRST NAME	MIDDLE NAME	LAST NAME
4. Mother Name			
5. a. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender		
b. Date of birth	DD / MM / YYYY	c. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
6. Nationality	<input type="checkbox"/> Indian	7. Status	<input type="checkbox"/> Resident Individual
	<input type="checkbox"/> Other		<input type="checkbox"/> Non Resident
	Please specify,		<input type="checkbox"/> Foreign National
8. PAN	FORM - 60		
9. Specify the proof of identity submitted :			

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res.)		
Tel (Off.)	Email id		
3. Specify the proof of address submitted for Residence / Permanent Address:			
4. Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)			
City/Town/Village	District		
Pin Code	State	Country	

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place		Signature of Applicant
Date	DD / MM / YYYY	

FOR OFFICE USE ONLY

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

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

UCC Code allotted to the Client

Signature of Authorised Signatory



SECOND HOLDER

1 - PART - A



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

Application No. :

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

A. PERSONAL DETAILS

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

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res.)		
Tel (Off.)	Email id		
3. Specify the proof of address submitted for Residence / Permanent Address:			
4. Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)			
City/Town/Village	District		
Pin Code	State	Country	

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place	Signature of Applicant
Date	

FOR OFFICE USE ONLY

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

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

UCC Code allotted to the Client

Signature of Authorised Signatory



THIRD HOLDER

1 - PART - A



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

Please fill in ENGLISH & in BLOCK LETTERS with black/blue ink & tick the appropriate options **Application No. :**

A. PERSONAL DETAILS

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

9. Specify the proof of identity submitted :

B. ADDRESS DETAILS

1. Residence / Permanent Address (for Non-resident applicant overseas address to be mentioned)			
City/Town/Village	District		
Pin Code	State	Country	
2. Contact/Mobile No	Tel (Res.)		
Tel (Off.)	Email id		
3. Specify the proof of address submitted for Residence / Permanent Address:			
4. Current/ Correspondence Address (if different from above mandatory. For Non-resident applicant correspondence address in India can be provided)			
City/Town/Village	District		
Pin Code	State	Country	

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Place	Signature of Applicant
Date	

FOR OFFICE USE ONLY

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

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

UCC Code allotted to the Client

Signature of Authorised Signatory

1 - PART - B

A. DETAILS OF ACCOUNT HOLDER(S)

Account holder(s)	Sole / First Holder	Second Holder	Third Holder
Name			
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Forex Dealer	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student Others (Please specify; _____)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Forex Dealer

B. TYPE OF ACCOUNT

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

C. IN CASE OF NRIs/ FOREIGN NATIONALS

RBI Approval Reference Number		RBI Approval date	DD / MM / YYYY
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D. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR PAYOUT OF FUNDS)

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

E. DEPOSITORY ACCOUNT DETAILS

	DP 1 Details	DP 2 Details	DP 3 Details
Depository	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name			
Client Name			
DP ID	IN300079	IN300079	IN300079
BO ID			

F. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

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

G. INVESTMENT / TRADING EXPERIENCENumber of years of investment Years**H. EDUCATIONAL QUALIFICATION** UNDER GRADUATE GRADUATE POST GRADUATE PROFESSIONAL Others _____ (Please Specify)**I. PAST ACTIONS**

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

 No Yes If yes, please specify**J. INTRODUCER**Status of Introducer Employee Existing Client Others (Specify):

Introducer Name: Emp/Client Code:

Address:

Mobile No:

Signature of the Introducer

**Delivery Instruction Slip (DIS)**

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

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

Receive Delivery Instruction Slip

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

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

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

K. GST REGISTRATION DETAILS (IF AVAILABLE)

Registration No :

Name of the State :

GUARDIAN DETAILS (WHERE SOLE HOLDER IS MINOR):

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

Guardian Name		PAN Card	
Relationship of guardian with minor			
Address:			Mobile No:

NOMINATION OPTION

- I/We wish to make a nomination
[Details are provided in Nomination Form Prescribed by SEBI]
- I/We wish to opt out of nomination
[Declaration Form opting out of nomination as prescribed by SEBI]

MODE OF OPERATIONS FOR JOINT ACCOUNTS

- Jointly Anyone of the holder or survivor(s)

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

DECLARATION

- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/ us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or un true or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
- I/We further confirm having read & understood the contents of the 'Rights & Obligations' document(s) & Do's & Don'ts - Guidance note. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on member's designated website i.e www.idbicapital.com, for the information of the clients.

Notes:

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
- Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No. 4. In case 'All joint account
- holders' is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
- Strike off whichever is not applicable.

FH
3/12

(First/Sole Holder Signature)

SH
3/12

(Second Holder Signature)

TH
3/12

(Third Holder Signature)

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a Stock Broker surrenders his membership, or is expelled from membership or declared a defaulter; Exchange(s) give a public notice inviting claims relating to only the "transaction executed on the trading system" of Exchange(s), from the investors. Ensure that you lodge a claim with the relevant Exchange(s) within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your Stock Broker, particularly in the event of a default or the Stock Broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations/Business Rules of the relevant Exchange(s) where the trade was executed and scheme of the investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

13. Please note that the details of the arbitration proceedings, penal action against the Stock Broker and investor complaints against the Stock Broker are displayed on the website of the relevant Exchange(s).
14. In case your issue/problem/grievance is not being sorted out by concerned Stock Broker then you may take up the matter with the concerned Exchange(s). if you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
15. Note that all the Stock Broker have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT (AS PRESCRIBED BY SEBI AND DEPOSITORIES)

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.
3. 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.

Beneficial Owner information

4. 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.
5. 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

6. 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"
7. 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.
8. 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.

Fees/Charges/Tariff

9. 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

10. 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.
11. 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

12. 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.
13. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

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 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,
21. the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default
22. 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

23. As per Section 16 of Depositories Act, 1996,
24. 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.
25. 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/ De freezing of accounts

26. 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.
27. 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

28. 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

29. 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

30. 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.
31. 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.

32. 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.
33. 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
34. 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.
35. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, 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.

DEPOSITORY FEE STRUCTURE (With Effect from July 01 2025)

Nature of Service	DP charges
Annual Maintenance Charges	AMC Rs.350/-
Basic Service Demat Account "BSDA"	<ul style="list-style-type: none"> • Up to Rs.400,000/- Nil AMC • More than Rs.400,000/- but up to Rs.10,00,000/- is Rs.100/- • More than Rs.10,00,000/- Normal AMC
Transaction charges for DP–Debit Transaction(For Online as well as Offline Clients)	Rs.25/- per scrip "NSDL Charges Rs. 4/-
Market/Off-market/Inter-depository – Debit Transaction (Physical DIS submitted to IDBI Capital)	Rs.30/- or 0.04% of Market Value whichever is higher (Maximum Rs.500/- per scrip) (NSDL Charges Rs.4/-)
Dematerialization	Rs. 10 per Certificate
Postage for Dematerialization	Rs. 100/- per Demat Request
Dematerialization	Rs. 50/- per Remat Request (NSDL Charges Rs.10/-per Certificate)
Mutual Fund Redemption	Rs.25/- per request (NSDL charges Rs.4.50)
Conversion/Reconversion of mutual fund units in to SOA	Rs.25/- per request (NSDL charges Rs.10/- per request)
Pledge Creation	Rs.45/- per transaction (NSDL charges Rs.25/-)
Margin pledge Initiation from client account to TM	Rs.45/- per transaction (NSDL charges Rs.25/-)
Pledge Closure	Rs.45/- per transaction (NSDL charges Rs.5/-)
Pledge Invocation	Rs.45/- per transaction
Non-Periodic Transaction Statement/Holding Statement	Rs. 25/- per request

Common Clauses:

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

Notes:

1. Minimum brokerage/charges for scrips priced upto Rs 10/- : Rs. 0.04 per share.
2. Minimum brokerage/charges Rs. 25/- per exchange per segment
* Subject to maximum brokerage limits specified by SEBI from time to time
3. Service Tax, STT, Stamp Duty and other Statutory/Exchange charges, as applicable, will be charged in addition to the brokerage rates mentioned above.
4. IDBI Capital Markets & Securities Limited reserves the rights to withdraw/modify the plan at its sole discretion with 15 days prior notice published on our website.
5. KRA Charges : Rs.100 + Taxes
6. Service tax and other statutory charges if applicable will be levied separately.
7. Charges/Service standards are subject to revision at IDBI Capital's sole discretion and as informed by circulars sent by ordinary post. (which will be intimated to the client 30days prior to the date of effect)

8. Transactions charges will be payable monthly. Charges quoted above are for the services listed above. Any service not quoted above will be charged separately.
9. In case of non-payment or delay in payment of the charges in time, IDBI Capital reserves the rights to close or discontinue the Depository services for the account.
10. All the holders must sign operating instructions for the joint accounts.
11. IDBI Capital must receive all instructions for transfer at least one day prior to the pay-in date latest by 4.00 PM.
12. Late instructions for transfer will be executed at the account holder's own risk on best effort basis.
13. In order to settle the dues in time, we have organized for ECS debit facility where your bill amounts would be directly debited from your bank account. ECS mandate forms may therefore be submitted to enable us to serve you better and avoid unnecessary reminders being issued. Kindly ignore if the same has been already submitted.
14. Clients must ensure that the instruction booklets issued to them are pre stamped with the client ID.
15. Please ensure that the securities are available in demat mode before submitting a dematerialization request form (DRF). The physical certificates submitted along with the DRF must be defaced with the words "Surrendered for Dematerialization".

Confirmation with regard to KRA

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

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

 _____

(First/Sole Holder Signature)

 _____

(Second Holder Signature)

 _____

(Third Holder Signature)

Date: DD / MM / YYYY

Place :



EOF

**PART I - FATCA / CRS DECLARATION FORM FOR INDIVIDUAL
FIRST / SOLE APPLICANT / GUARDIAN**

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

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

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		
Date of Birth			Place of Birth		
Nationality					

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

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

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

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

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

SECOND APPLICANT

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

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

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		
Date of Birth			Place of Birth		
Nationality					

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

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

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

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

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

THIRD APPLICANT

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

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

Type of address given at KRA	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	
Permissible documents are	<input type="checkbox"/> Passport	<input type="checkbox"/> Election ID Card	<input type="checkbox"/> PAN Card	<input type="checkbox"/> Govt. ID Card	<input type="checkbox"/> Driving license
	<input type="checkbox"/> UIDAI Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others		
Date of Birth			Place of Birth		
Nationality					

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

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

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

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

CERTIFICATION

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

FH 
7/11

(First/Sole Holder Signature)

SH 
7/11

(Second Holder Signature)

TH 
7/11

(Third Holder Signature)

Date : _____

Place : _____

FATCA & CRS TERMS & CONDITIONS

Details under FATCA & CRS :

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

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

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

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

Demat Debit and Pledge Instruction (DDPI)		Date DDMMYYYY		
I/We hereby give Demat Debit and Pledge Instruction to IDBI Capital Markets & Securities Ltd (ICMS) for my/our demat accounts mentioned below:				
Demat account of the client for which this DDPI is given				
Demat account to be opened through Application / Form No:				
Client ID -		with DP ID -	PAN -	
First Account holder Name Demat				
Second Account holder Name Demat				
Third Account holder Name Demat				
Details of Demat accounts of IDBI Capital Markets & Securities Ltd (ICMS) where securities can be transferred and/or pledged using below mentioned DDPI are provided under Schedule I.				
S. No.	Purpose	Signature of Client*		
		First Holder	Second Holder	Third Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	8/12	8/12	8/12
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	9/12	9/12	9/12
3.	Mutual Fund transactions being executed on stock exchange order entry platforms and which shall be in compliance with SEBI circulars.	10/12	10/12	10/12
4.	Tendering shares in open offers which shall be in compliance with SEBI circular.	11/12	11/12	11/12
* the same may be e Signed or signed physically				
Schedule I: Demat accounts where securities can be transferred / pledged /Mutual Fund transactions Tendering shares in open offers. Note : ICMS-IDBI Capital Markets & Securities Ltd. ; NSDL – National Securities Depository Ltd ; CDSL – Central Depository Services Ltd				
CM BP ID		CM NAME		
NSE – IN503854		IDBI CAPITAL MARKETS & SECURITIES LTD		
BSE – IN600846		IDBI CAPITAL MARKETS & SECURITIES LTD		

Annexure- 1 DematAccountDetails			
Sr. No.	NameoftheAccountHolder	DP Id	ClientId
1	IDBI Capital Markets & Securities Limited CLIENT COLLATERAL A/C	IN300079	10813540
2	IDBI Capital Markets & Securities Ltd CLIENT SECURITIES UNDER MARGIN FUNDINGACCOUNT	IN300079	10868858
3	IDBI CAPITAL MARKETS & SECURITIES LTD -CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT	IN300079	11144325
4	IDBI Capital Markets & Securities Ltd CLIENT MARGIN TRADING SECURITIES A/C	IN300079	10813558
5	IDBI Capital Markets & Securities Ltd-CLIENT ACCOUNT	IN300079	10028163
6	IDBI Capital Markets & Securities Ltd CLIENT UNPAID SECURITIES A/c	IN300079	10812926
7	IDBI Capital Markets & Securities Ltd POOL ACCOUNT	IN300079	10000004
8	IDBI Capital Markets & Securities Ltd-POOL ACCOUNT	IN300079	10008130
9	IDBI Capital Markets & Securities Ltd CLIENT SECURITIES MARGIN PLEDGE ACCOUNT	IN300079	10868840

Annexure- 2 - List of DematAccountof Clients			
Sr. No.	NameoftheAccountHolder	DP Id	ClientId

<input type="checkbox"/>	I/We accept IDBI Capital Markets & Securities Ltd (Stock Broker)		
First holder	12 /12	Second holder	12/12
		Third holder	12/12

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

CIN number U65990MH1993GOI075578

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

VERSION - 1.0 March - 2026