

Name: \_\_\_\_\_

Client ID: \_\_\_\_\_

Demat  
Account  
Opening  
Form (NSDL)



**For Safety &  
Prosperity,  
Invest/Insure  
thru OJ**

## **O.J. Financial Services Ltd.**

(Depository Participant : NSDL, Member : NSE, BSE, MSE)

Group Concern Member : NCDEX, MCX, INDIA INX, NSE IFSC

(DP ID - IN303778, SEBI REGN. No.:IN-DP-NSDL-325-2009)

901, Mercantile House, K.G. Marg, New Delhi-110001

Ph : +91-11-49670000(Ext. 46 & 47), 23720900, Fax : 49670079

**E-mail** : oj@ojfin.com **Complaint Id** : investserve@ojfin.com **Website**: www.ojfin.com

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17	Deceleration Joint Bank / BSDA	✓	✓	X
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20	Authorised Signatories Details for Corporate etc.	X	X	✓
21	Speed-e Application Form for Password User	✓	✓	✓
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26	Power of Attorney format for Speed-e in Joint A/c	✓	✓	✓
27	Tariff Schedule	✓	✓	✓
28	Check List	✓	✓	✓
29	Acknowledgment	✓	✓	✓
30	Updation of Record	✓	✓	✓
31-32	Application form for KRA	✓	✓	✓
33-35	PoA to Operate demat A/c	✓	✓	✓

### List of Documents to be submitted

Documents (Self -Attested with FULL Signature in <b>Blue Ink</b> ) (STAMP in case of HUF/Company) (Photocopies on A4 size paper)	
For Individual/ All	
1.	<b>Pan Card</b> of client (Also of Karta/ Director/ Authorised Rep.)
2.	Recent Passport Size color <b>Photograph</b> of Individual, Karta, Director/ Authorised Rep, and signature across it.
3.	<b>Address Proof for all holders, (anyone)</b> I.) Aadhar. II.) Passport III.). Election ID Card IV). Driving License V). Ration Card VI). Bank Passbook/ Bank Statement( Not be more than 3 Months Old) VII). Electricity Bill ( Not be more than 3 Months Old) VIII). Residence Telephone Bill(Land Line)( Not be more than 3 Months Old) IX). Self Declaration by High Court & Supreme Court Judge, giving the new address in respect of their own accounts. X) Identity Card/ Document with Applicant's Photo and Address issued by any of the following issuing authorities. A. ID Card of Central/State Govt. and its Undertakings B. Statutory/ Regulatory Authorities C. Public Sector Undertakings, D. Scheduled Commercial Banks E. Public Financial Institutions F. College Affiliated to Universities (Valid only till the time the applicant is student) G. ID card of Professional Bodies such as ICAI, ICWAI, ICSI Bar Council etc., to their Members, H. Leave and License agreement/ Agreement for sale
4.	Copy of the original <b>cancelled cheque</b> showing Account No. & Name or Bank Statement/ Pass Book/ Bank Letter Showing Account No. & Name
5.	<b>ID Proof of Nominee</b> The Account Opening Form is to be filled up in CAPITAL LETTERS and to be signed By Blue Pen at all Places Marked ⊗ Please provide at least one Landline contact no. Mobile no. and email id. Original documents shall be required for verification purpose at the time of submission of the form.
Additional For HUF/NRI/Company etc.	
6.	HUF Certified Copy of Declaration by the 'Karta' & all Co-Parceners as per annexure.
7.	NRI I. Proof of Foreign addresses II. RBI approval for acquiring shares/ securities III. Certified Copy of Declaration by the Holder as per annexure. IV. Power of Attorney details. V. Copy of Passport
8.	Company/LLP I. Certified True copy of Memorandum & Article of Association of the Company II. Certified True Copy of Board Resolution along with Signatures of Authorised Rep. as per Annexure III. Certified True copy of Balance Sheets for last Two Years. IV. List of Directors on letter head with DIN. V. Address proof of Company (Bank Statement(not more than 3 Months old) Acknowledgement copy of Latest Income Tax Return, Documents registered with Registrar of Companies (ROC), Leave and License agreement/ Agreement for sale
9.	Clearing Member 1. SEBI Certificate II. Exchange Certificate
10.	Mutual Fund 1. SEBI Approval
11.	Societies 1. Registration Certificate of the Society II. Bye Law or Regulation of the Society III. Committee approval for opening and operate the A/c
12.	FII 1. SEBI Approval II. RBI Approval III. Power of Attorney from FII to Global Custodian IV. Power of Attorney from Global Custodian to other custodian.
13.	Charitable Trust I. Trust deed II. Certificate of recognition by the Commissioner of Charity to avail tax exemptions III. Approval of Trustee to open and operate the A/c
14.	PF/Super annuation fund/ Grtaturity I. Certificate of recognition by the Commissioner of Income Tax II. Trust Deed III. Approval of Trustee to open and operate the A/c

### FOR OFFICE USE ONLY

Client Name		Name of Introducer	
Client ID		A/c Entered By	
Date of Receipt		A/c Verified By	



For Safety & Prosperity, Invest/Insure thru OJ

# O.J. FINANCIAL SERVICES LTD.

(Depository Participant : NSDL)

KYC for Individuals

(SEBI Regn. No.: IN-DP-NSDL-325-2009)

901, Mercantile House, K.G. Marg, New Delhi-110001

Board No. : 49670000 (Ext. 46 & 47), 23720900

E-mail : oj@ojfin.com, Website: www.ojfin.com, Complaint ID : investserve@ojfin.com

⊗ Photograph  
Please affix your  
Recent passport  
size Photograph  
& sign across it

DP-ID							DATE								
I	N	3	0	3	7	7	8	D	D	M	M	Y	Y	Y	Y

Please Fill this form in capital Letters

<b>A. IDENTITY DETAILS</b>															
1.	Name of the Applicant (Sole/ First) :														
2.	Father's / Spouse Name:														
3.	a	Gender :	Male <input type="checkbox"/> Female <input type="checkbox"/>			b	Marital Status :	Single <input type="checkbox"/> Married <input type="checkbox"/>			c	Date of Birth:	DD	MM	YYYY
4.	a	Nationality :	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify) .....												
	b	Status :	<input type="checkbox"/> Resident Individual			<input type="checkbox"/> Non Resident			<input type="checkbox"/> Foreign National						
5.	PAN :					6.	UID/Aadhaar								
7.	GST No.														
8.	Specify the proof of identity submitted : <input type="checkbox"/> PAN card <input type="checkbox"/> Other (Please specify) .....														
<b>B. ADDRESS DETAILS</b>															
1.	Residence / Correspondence Address :														
	City/Town/Village :					Pin Code :									
	State :					Country :									
2.	Specify the Proof of Address submitted for Residence / Correspondence Address :														
3.	Contact Details														
	Tel. (Res.) (Landline) :					Tel. (Off.) (Landline) :									
	Fax :					Mobile No. :									
	Email id :														
4.	Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) :														
	City/Town/Village :					Pin Code :									
	State :					Country :									
C	<b>Tax Residency</b> <input type="checkbox"/> India <input type="checkbox"/> Outside India <input type="checkbox"/> I am tax resident only in India. I am neither US person nor tax resident in any country other than India <input type="checkbox"/> I am US person <input type="checkbox"/> I am Tax resident in country other than India and I am not US person										⊗ Signature of Applicant				
	<b>DECLARATION</b> 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. DD MM YYYY										⊗				
	<b>FOR OFFICE USE ONLY</b>														
	In Person Verification (IPV) Details :														
	Name of the person who has done IPV : _____														
	Designation : _____ Employee ID : _____														
	Date of IPV : ____/____/____ Signature of the person who has done IPV _____														
	Original Verified and Self Attested Documents copies received _____ Date : ____/____/____														
											Seal / Stamp of the Company (DP)				
											Signature of DP Authorised Signatory				



<b>C</b>	<b>Type of account</b>			
	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI- Repatriable	<input type="checkbox"/> NRI- Non Repatriable	<input type="checkbox"/> Qualified Foreign Investo
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Promoter	<input type="checkbox"/> Margin	<input type="checkbox"/> HUF
	<input type="checkbox"/> Others (Please specify)			
<b>D</b>	<b>Gross Annual Income Details / Nature of Business</b>			
	Income Range per annum (Please tick any one)			
	<input type="checkbox"/> Below Rs. 1 Lac	<input type="checkbox"/> Rs. 1-5 Lac	<input type="checkbox"/> Rs. 5-10 Lac	<input type="checkbox"/> Rs. 10-25 Lac
	<input type="checkbox"/> More than Rs. 25 Lac	<input type="checkbox"/> Nature of Business _____		
	Net Worth As on Date	Amount Rs. .... (Networth should not be older than 1 Year)		
<b>E</b>	<b>In case of NRIs/Foreign Nationals</b>			
	RBI Approval Reference Number			
	RBI Approval Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Foreign Address :			
	Occupation		Occupation Type	
	Birth Date		Nationality	
	Place of Birth		Country of Birth	
	Country of Residence as per tax Laws		TIN Issuing Coutry	
	Tax Identification Number (TIN) allotted by resident country			
<b>F</b>	For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust / Society, etc. although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Person (AOP), Partnership Firm, Unregistered Trust /Society, etc., should be mentioned below :			
	A	Name	B	PAN
<b>G</b>	<b>Bank Details (See Note 3)</b>			
	1	Name of Bank A/c Holder		
	2	Bank Account Type	<input type="checkbox"/> Saving Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____	
	3	Bank Account Number		
	4	Bank Name		
	5	Branch Address		
		City/town/village	Pin Code	
		State	Country	
	6	MICR Code		
	7	IFSC Code		
<b>H</b>	<b>Please tick as applicable :</b> <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Neither PEP nor related to PEP			
<b>I</b>	<b>Standing Instructions</b>			
	1	I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	2	Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	3	SMS Alert Facility : {Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form}		
	Sr. No.	Holder	Yes	No
	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>

	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
4	Mode of receiving Statement of Account (Tick Any One)		<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form
{Read Note 4 and ensure that email ID is provided in KYC Application Form}				
<b>J Declaration About Mobile Number &amp; E-mail ID</b>				
<input type="checkbox"/> Mobile Number				
<input type="checkbox"/> E-mail ID				
I hereby declare that the aforesaid mobile number or E-mail ID belongs to Mobile : <input type="checkbox"/> Me or <input type="checkbox"/> My family (Spouse, dependent children, parents) E-mail : <input type="checkbox"/> Me or <input type="checkbox"/> My family (Spouse, dependent children, parents) (Please tick (✓) wherever applicable)				
<b>K Nomination Option</b>				
<input type="checkbox"/> I/we wish to make a nomination (as per detail given below)		<input type="checkbox"/> I/we do not wish to make a nomination (Strike all the nomination detail below)		
I/We do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death :-				
<b>Nomination can be made upto three nominees in the account.</b>		<b>Details of 1<sup>st</sup> Nominee</b>	<b>Details of 2<sup>nd</sup> Nominee</b>	<b>Details of 3<sup>rd</sup> Nominee</b>
<b>1</b>	<b>Name of the Nominee(s) (Mr./Ms.)</b>			
<b>2</b>	<b>Share of each Nominee</b> Equally <input type="checkbox"/> <small>(If not equally, please specify percentage)</small>	%	%	%
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form</i>		
<b>3</b>	<b>Relationship With the Applicant ( If Any)</b>			
<b>4</b>	<b>Address of Nominee(s)</b>			
	PIN Code			
<b>5</b>	<b>Mobile/Tele. No. of Nominee(s)</b>			
<b>6</b>	<b>Email ID of Nominee(s)</b>			
<b>7</b>	<b>Demat Account Details of Nominee</b> DP ID Client ID	_____ _____	_____ _____	_____ _____
<b>8</b>	<b>Nominee Identification details–</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity to be attached			
<b>9</b>	<b>Nominee Photo</b>	Photo of Nominee (Signature of Nominee across Photograph)	Photo of Nominee (Signature of Nominee across Photograph)	Photo of Nominee (Signature of Nominee across Photograph)
<b>10</b>	<b>Signature of Nominee</b>	⊗ Signature Here	⊗ Signature Here	⊗ Signature Here
<b>Sr. Nos. 11-15 should be filled only if Nominee(s) is a minor:</b>				
<b>11</b>	<b>Date of Birth {in case of minor Nominee(s)}</b>			
<b>12</b>	<b>Name of Guardian (Mr./Ms.) {in case of minor is Nominee(s) }</b>			

13	Address of Guardian(s)			
		PIN Code		
14	Mobile/Tele. no. of Guardian			
15	Email ID of Guardian			
16	Relationship of Guardian with Nominee			
17	Demat details of Guardian DP ID & Client ID	_____	_____	_____
18	Guardian Identification details— [Please tick any one of following and provide details of same] <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity to be attached			
19	Photo of Guardian	Photo of Guardian (Signature of Guardian across Photograph)	Photo of Guardian (Signature of Guardian across Photograph)	Photo of Guardian (Signature of Guardian across Photograph)
20	Sign. of Guardian	⊗ Signature Here	⊗ Signature Here	⊗ Signature Here
<b>Signature of Witness for Nomination</b>				
Name of the Witness		Address		Signature of witness
				Date   D   D   M   M   Y   Y   Y   Y

L	Please attach recent Passport size Photograph of Holder(s) in space provided below		
	Sole / First Holder	Second Holder	Third Holder
	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> <p><i>Photograph</i> Please affix your recent passport size Photograph &amp; sign across it</p> <p style="text-align: center;">⊗</p> </div>	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> <p><i>Photograph</i> Please affix your recent passport size Photograph &amp; sign across it</p> <p style="text-align: center;">⊗</p> </div>	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: auto;"> <p><i>Photograph</i> Please affix your recent passport size Photograph &amp; sign across it</p> <p style="text-align: center;">⊗</p> </div>

## Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

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

### Notes

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- In case account is opened by Individual(s) on behalf of HUF, AOP, Partnership Firm, Unregistered Trust / Society, Bank Details of HUF, AOP, Partnership Firm, Unregistered Trust / Society should be mentioned.
- Instructions related to **nomination**, are as below:
  - The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
  - A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
  - The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
  - Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
  - Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
  - The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
  - On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
- 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.
- Strike off whichever is not applicable.



**D. OTHER DETAILS****Details of Promoters/Partners/Karta/Trustee and whole time directors / two director incharge of day to day operations forming a part of know your Client (KYC) Application Form for Non Individuals**

Name	Relationship with Applicant (i.e. promoters, Whole time directors etc)	PAN	Residential/Registered Address	DIN of whole time director/Aadhar number of Promoters/Partners	Photograph
					<i>PHOTOGRAPH</i> <i>Please affix your recent passport size Photograph &amp; sign across it</i> ⊗
					<i>PHOTOGRAPH</i> <i>Please affix your recent passport size Photograph &amp; sign across it</i> ⊗
					<i>PHOTOGRAPH</i> <i>Please affix your recent passport size Photograph &amp; sign across it</i> ⊗
					<i>PHOTOGRAPH</i> <i>Please affix your recent passport size Photograph &amp; sign across it</i> ⊗
⊗ Signature of the Authorised Signatory(ies)				DD MM YYYY	

# O.J. FINANCIAL SERVICES LTD.

(Depository Participant : NSDL)

(SEBI Regn. No.: IN-DP-NSDL-325-2009)

901, Mercantile House, K.G. Marg, New Delhi-110001

Board No. : 49670000 (Ext. 46 & 47), 23720900

E-mail : oj@ojfn.com, Website: www.ojfn.com, Complaint ID : investserve@ojfn.com



For Safety & Prosperity, Invest/Insure thru OJ

Account Opening Form  
For Non-Individuals

Photograph  
Please affix your  
Recent passport  
Size Photograph  
& sign across it

DP ID				Date				Client ID			
I	N	3	0	D	D	M	M				
3	7	7	8	Y	Y	Y	Y				

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

<b>A</b>	<b>Details of Account holder(s)</b>		
	Name	PAN	GST IN
	Sole/ First Holder		
	Second Holder		
	Third Holder		
<b>B</b>	<b>Type of Account</b>		
	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII
	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust	<input type="checkbox"/> Bank
	<input type="checkbox"/> Other (Please specify) _____	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> CM
<b>C</b>	<b>Income Details (Please specify)</b>		
	Income Range per annum	<input type="checkbox"/> Below Rs. 20 Lac	<input type="checkbox"/> Rs. 20 – 50 Lac
	<input type="checkbox"/> Rs. 50 – 1 Crore	<input type="checkbox"/> Above Rs. 1 Crore	
	Net Worth Amount Rs. .... As on Date (Networth should not be older than 1 year)		
<b>D</b>	<b>In case of FIIs/Others (as may be applicable)</b>		
	RBI Approval Reference Number		
	RBI Approval Date		
	SEBI Registration Number (For FIIs)		
	Foreign Address		
<b>E</b>	For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust / Society, etc. although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Person (AOP), Partnership Firm, Unregistered Trust/Society, etc., should be mentioned below :		
	A	Name	B PAN
<b>F</b>	<b>Bank Details</b>		
	1	Name of Bank A/c Holder	
	2	Bank Account Type	<input type="checkbox"/> Saving Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____
	3	Bank Account Number	
	4	Bank Name	
	5	Branch Address	
		City/Town/Village	Pin Code
		State	County
	6	MICR Code	
	7	IFSC Code	
<b>G</b>	Please tick as applicable, for any of your authorized signatories/Promoters/Karta/Trustees/Whole time Director:		
	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
	<input type="checkbox"/> Neither PEP nor related to PEP		

H	Clearing Member Details (to be filled up by Clearing Members only)		
1	Name of Stock Exchange		
2	Name of Clearing Corporation/Clearing House		
3	Clearing Member ID		
4	SEBI Registration Number		
5	Trade Name		
6	CM-BP-ID (to be filled up by Participant)		

I	Standing Instructions			
1	We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3	SMS Alert Facility :			
	Sr. No.	Holder	Yes	No
	1	Sole/First Holder	<input type="checkbox"/>	<input type="checkbox"/>
	2	Second Holder	<input type="checkbox"/>	<input type="checkbox"/>
	3	Third Holder	<input type="checkbox"/>	<input type="checkbox"/>
4	Mode of receiving Statement of Account (Tick Any One)	<input type="checkbox"/> Physical Form	<input type="checkbox"/> Electronic Form	
	{Read Note 3 and ensure that email ID is provided in KYC Application Form}			
J	Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)			

Sole/First Holder	Name	Signature(s)
First Signatory		⊗
Second Signatory		⊗
Third Signatory		⊗
Other Holders		
Second Holder		⊗
Third Holder		⊗
Mode of Operation for Sole/First Holder (In Case of joint holding, all the holders must sign)		
<input type="checkbox"/> Any one singly		
<input type="checkbox"/> Jointly by		
<input type="checkbox"/> As per resolution		
<input type="checkbox"/> Others (Please specify)		

#### Notes :

- In case of additional signatures, separate annexure should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- 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.
- Strike off whichever is not applicable.

D. DECLARATION		
The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".		
	<b>Name</b>	<b>Signature</b>
⊗	First Holder	
	Second Holder	
	Third Holder	
DD	MM	YYYY

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (**UID**) (Aadhaar)/ **Passport/ Voter ID card/ Driving license**.
2. **PAN card** with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. **Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of**

Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

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

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

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

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

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

Continued....

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

Type of entity	Documentary requirements	Tick (✓)
<b>Individuals</b>	<b>Photo, Pan, Proof of Identity, (POI), Proof of Address (POA)</b>	
<b>Corporate</b>	Copy of the balance sheets for the last 2 financial years (to be submitted <b>every year</b> ): Copy of latest <b>share holding pattern</b> including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted <b>every year</b> ).	
	Photograph, POI, POA, PAN and DIN numbers of <b>whole time directors/two directors</b> in charge of day to day operations.	
	Photograph, POI, POA, PAN of individual <b>promoters</b> holding control - either directly or indirectly.	
	Copies of the <b>Memorandum and Articles</b> of Association and certificate of incorporation.	
	<b>List of Directors</b> on Letter Head with DIN Numbers.	
	Copy of the <b>Board Resolution</b> for opening Demat account and investment in securities market along with <b>Authorised signatories</b> list with specimen signature	
<b>Partnership firm</b>	Copy of the <b>balance sheets</b> for the last 2 financial years (to be submitted every year).	
	Certificate of <b>registration</b> (for registered partnership firms only).	
	Copy of <b>partnership deed</b> .	
	<b>Authorised signatories</b> list with specimen signatures.	
	Photograph, POI, POA, PAN of <b>Partners</b> .	
<b>HUF</b>	<b>PAN</b> of HUF.	
	Deed of declaration of HUF & <b>List of coparceners</b> .	
	Bank pass-book/ <b>bank statement</b> in the name of HUF.	
	Photograph, POI, POA, <b>PAN of Karta</b> .	
<b>Trust</b>	Copy of the <b>balance sheets</b> for the last 2 financial years (to be submitted every year).	
	Certificate of <b>registration</b> (for registered trust only).	
	Copy of <b>Trust deed</b> .	
	<b>List of trustees</b> certified by managing trustees/CA.	
	Photograph, POI, POA, PAN of <b>Trustees</b> .	
<b>Unincorporated association or a body of individuals</b>	<b>Proof of Existence/</b> Constitution document.	
	<b>Resolution</b> of the managing body & Power of Attorney granted to transact business on its behalf.	
	<b>Authorized signatories</b> list with specimen signatures.	
<b>Bank/Institutional Investor</b>	Copy of the constitution /registration or annual report / <b>balance sheet</b> for the last 2 financial years	
	<b>Authorized signatories</b> list with specimen signatures	
<b>Foreign Institution Investors (FII)</b>	Copy of <b>SEBI Registration</b> certificate	
	<b>Authorized signatories</b> list with specimen signatures	
<b>Army/Govt. Bodies</b>	<b>Self-certification</b> on letterhead.	
	<b>Authorized signatories</b> list with specimen signatures.	
<b>Registered Society</b>	Copy of <b>Registration Certificate</b> under Societies Registration Act.	
	List of <b>Managing Committee</b> members.	
	Committee <b>resolution</b> for persons authorised to act as authorised signatories with specimen signatures.	
	True copy of <b>Society Rules</b> and Bye Laws certified by the Chairman/Secretary	

## **Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories**

### **General Clause**

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

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner **confidentially** and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any **change in details** provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall **pay such charges** to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of **Basic Services Demat Accounts**, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/ directions/notifications issued from time to time.
7. The DP **shall not increase any charges/tariff** agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, **dematerialized** in the form and manner laid down under the Bye Laws, Business

Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall **not be mixed** up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any **pledge and /or hypothecation** or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/ Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall **effect transfer** to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give **standing instructions** with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### **Statement of account**

13. The DP shall provide **statements of accounts** to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one **physical statement** of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an **electronic mode** if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of **Basic Services Demat Accounts**, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

## Manner of Closure of Demat account

17. **The DP shall have the right to close the demat account** of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the **right to close his/her demat account** held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances **within a period of thirty days** as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

## Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the **right of the DP to close the demat account** of the Beneficial Owner, the **DP may charge interest** at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the **right to stop processing of instructions** of the Beneficial Owner till such time he makes the payment along with interest, if any.

## Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall **indemnify such beneficial owner**.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the **right to recover the same** from such participant.

## Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the **right to freeze/defreeze his/her demat account** maintained with the DP in accordance with the procedure and subject to the restrictions laid down

under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the **right to freeze/defreeze the accounts** of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

## Redressal of Investor grievance

24. The DP shall **redress all grievances** of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

## Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a **list of officials authorized** by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

## Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise **any other rights** which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be **subject to Government notification**, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the **arbitration and conciliation procedure** prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the **same meanings** as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI
30. Any **changes in the rights and obligations** which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules 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.

**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET**

Client ID \_\_\_\_\_

⊗ This agreement made and entered into this \_\_\_\_\_ day of \_\_\_\_\_ Two Thousand ⊗  
 \_\_\_\_\_ between \_\_\_\_\_ R/o / Situated at \_\_\_\_\_ ⊗  
 \_\_\_\_\_ (hereinafter ⊗  
 called "The Client ) and M/s O.J. Financial Services Ltd. having its Registered Office and situated at 901,  
 Mercantile House, K.G. Marg, New Delhi-110001 (hereinafter called " the Depository Participant")

**WITNESSETH**

WHEREAS the Client has permitted the Depository Participant to provide the transaction statement through internet.  
 NOW THEREFORE in consideration of the Depository Participant having agreed to provide the transaction statement through internet, both the parties to the agreement hereby covenant and agree as follows:

- I) The Depository Participant shall install adequate systems to restrict the access of the transaction statement only to the Client.
- II) The Client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password.
- III) The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality / secrecy of the login name and Password is compromised.
- IV) The Depository Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
- V) The above terms and conditions are in addition to and not in violation of the terms and conditions forming a part of the "AGREEMENT if any BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT" signed by the Client at the time of opening the account with the Depository Participant.

WITNESS WHEREOF the Depository Participant and the Client has caused these presents to be executed on the day and year first above written.

Signed and delivered by

Sole/First Holder	Second Holder	Third Holder
⊗	⊗	⊗

WITNESS 1

Name	Address	Signature

WITNESS 2

Name	Address	Signature

WITNESS 3

Name	Address	Signature

For on behalf of  
 M/s O.J. Financial Services Ltd.

Authorised Signatory

WITNESS

Name	Address	Signature

### Declaration of HUF status

**O.J.Financial Services Ltd.**

Dated:

As I/We wish to open a DP account with you in my capacity as karta of HUF of \_\_\_\_\_ I/we beg to say that the first signatory to this letter, i.e. \_\_\_\_\_ is the karta of the joint Family and other signatories are the co-parceners of said family.

We, all members of HUF, hereby authorise Mr. .... (Karta) to deal with you and he has all powers to take decision and sign all documents on our behalf.

I/We further confirm that the business of said joint family is carried on mainly by the said karta in the interest and for the benefit of entire body of co-parcener of the joint family.

In view of the fact that ours is not firm governed by the Indian Partnership Act of 1932, we have not got our said firm registered under the said Act.

I/We hereby undertake to inform you the death or birth of a co-parceners or of any change occurring at any time in the membership of our joint family during the currency of the account.

Name of Karta

Signature(s)

..... ⊗ .....

	Name of Adult Co-parceners	Date of Birth	Sex	Relationship with Karta	Signature
1			M/F		⊗
2			M/F		⊗
3			M/F		⊗
4			M/F		⊗
	Name of Minor Co-parceners	Date of Birth	Sex	Relationship with Karta	Signature (See Note)
1			M/F		⊗
2			M/F		⊗
3			M/F		⊗
4			M/F		⊗

Note : In case member is minor, karta to sign on behalf of minor.

### Declaration of NRI Status

1. Passport Detail
  - Number \_\_\_\_\_ • Date of Issue \_\_\_\_\_ • Date of Expiry \_\_\_\_\_
  - Place of Issue \_\_\_\_\_ • Issuing Authority \_\_\_\_\_
2. Nationality \_\_\_\_\_ 3. Country of Origin \_\_\_\_\_
4. Local Address \_\_\_\_\_
5. Purpose of stay abroad \_\_\_\_\_

I declare that I am a Non-Resident Indian residing at \_\_\_\_\_ (City/Country of Stay) and Citizen of \_\_\_\_\_ (Name of Country) for the purpose of Foreign Exchange Regulation Act 1973/ Foreign Exchange Management Act 2000 and shall immediately inform you in the event of any change in my address, citizenship and / or residency Or other status

I/We understand that the above account will be opened on the basis of the statement/declarations made by me /us, as I/We also agree that if any of the statement/declaration made herein is found to be incorrect in material particulars, you are not bound to allow the facility.

I/We would confirm that all debits to my/our accounts for the purpose of investment in India and credit of investment in India are covered either by general or special permission of RBI.

I will ensure that investments in shares/securities in India out of Funds held in my/our account with you are governed by respective regulations of Reserve Bank of India.

⊗  
(Applicant Signature)

**Encl. Photocopy of Passport** (Countersigned by applicant)

**Instructions:- In case already holding securities:**

- a) In the account opening form, RBI reference no. and approval date is to be quoted. **Photocopy of the same be provided.**
- b) In case NRI has never acquired any holding or securities from secondary market in relevant column he should write  
 1. In the column of Reference No.: **“No holdings”**    2. In the column of Approval Date: **“Present Date”**
- c) In case NRI has acquired securities through allotment in primary market i.e. direct investment scheme the necessary approval would have been obtained by the issuer company, under such cases he should write.

In the column of RBI Reference No.: **“Under General Permission”** 2. In the column of RBI Approval Date: **“Present Date”**

**M/s. O.J. Financial Services Lts, (DP : NSDL)**

Dear Sirs

**Sub : Demat Account in joint name, Bank account in single name.**

We have a joint demat account no. \_\_\_\_\_ with you.

We have consciously linked above joint demat account with bank account number

----- in -----Bank which is in single name

Thanking you

Yours faithfully

Name :

Signatures of Joint A/c Holders

---

**M/s. O.J. Financial Services Lts, (DP : NSDL)**

Dear Sirs

**Sub : Demat Account in single name, Bank account in joint name**

We have a demat account no. \_\_\_\_\_ with you which is in single name.

We have consciously linked above demat account with our bank account number

-----in -----Bank which is in joint name

Thanking you

Yours faithfully

Name :

Signatures of Joint A/c Holders

---

**M/s O J Financial Services Ltd (Depository NSDL)**

Dear Sir/Mam,

**Sub : Facility for Basic Services Demat Account (BSDA)**

You have offered me option to open BSDA

This is to inform you that I want to open regular Demat Account (Non-BSDA)

Please do not approach me in future to convert my Demat a/c with you into BSDA.

Thanking you

Yours faithfully

Signature

Name :

Demat A/c No.

PAN No. :

Address

**On Letter Head of Unregistered Trust**

**Copy of resolutions passed at the meeting of Trustees of XYZ Trust, held on \_\_\_\_\_ at the office of the Trust at \_\_\_\_\_**

**Resolved** that a demat account be opened in the name of the trustee Mr. A with M/s. O.J. Financial Services Ltd, Depository Participant of Depository namely NSDL. (It was reported in the meeting that while the Trust wants to open a demat account but cannot open a demat account in its name as per Depository regulations since it is an unregistered Trust. In view of this, it was decided to open a demat account in the name of its trustee Mr. A).

**Resolved further** that trustee Mr. A be and is hereby authorized to open and operate the above referred demat account.

**Resolved further** that above referred demat account may be mapped to / linked with trust Trading A/c. with Share Brokers

**Resolved further** that only those securities which belong to the Trust will be held in the above referred demat account. Securities belonging to the trustee Mr.A in his individual capacity will be held in a separate demat account of Mr. A.

**Resolved further** that trustee Mr.A is authorized to take all necessary steps and sign all necessary documents for giving effect to above resolutions

List of Authorized Trustees / officials:-

Name	Designation	Signature

**Resolved further** that a copy of these resolutions be forwarded after attestation by Trustees.

For **XYZ Trust**

For **XYZ Trust**

For **XYZ Trust**

**Trustee**  
(Name & designation)

**Trustee**  
(Name & designation)

**Trustee**  
(Name & designation)

**On Letter Head of Unregistered Trust**

From:  
XYZ Trust

To:  
**M/s. O.J. Financial Services Ltd** (Member : NSE, BSE, MSE),

Dear Sirs,

Sub: **Trading and Demat Account**

Our Trust has a trading account with you.

We recognize that a demat a/c. cannot be opened with a DP in the name of our Trust as per depository regulations since ours is an unregistered Trust.

To facilitate the operation of our trading a/c. with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the demat a/c no. \_\_\_\_\_ with DP having DP ID IN303778 opened in the name of our Trustee Mr.A and link/map it with our Trading A/c with you.

We agree that obligations of securities purchased and/or sold by our Trust will be completed through transfers to and from above mentioned demat a/c. We recognize and accept transfers made by you to the above mentioned demat a/c as complete discharge of your obligations in respect of trades executed in our trading account. We further advise you to accept securities received from above demat a/c towards securities sold by our Trust.

Thanking you,

Yours faithfully,

For **XYZ Trust**

For **XYZ Trust**

For **XYZ Trust**

**Trustee**  
(Name & designation)

**Trustee**  
(Name & designation)

**Trustee**  
(Name & designation)

(To be furnished on Company's Letterhead)  
**SPECIMEN BOARD RESOLUTION**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S ..... held on .....DAY ..... of .....20.....at .....

**"RESOLVED** that the consent of the Company be and is hereby given to open Depository Account with M/s. O.J. Financial Services Ltd. the Depository Participant, as per rules and regulations laid upon by NSDL"

**"RESOLVED** further that Mr..... Directors/Authorized Signatory or Mr....., Directors/Authorized Signatory or Mr.....Directors/Authorized Signatory of the Company, are hereby authorized to open and operate the aforesaid account singly and the said M/s. O.J. Financial Services Ltd. is authorised to honor all instructions issued by any of the directors/Authorised Signatories so authorised in relation to the above account subject to the rules and regulations and terms and conditions agreed".

**"RESOLVED** further that any of the aforesaid Mr..... or Mr. .... or Mr. .... be and are hereby singly authorised to sign/file/submit any form/document relating to the account to **M/s. O.J. Financial Services Ltd.**

S. No.	Name	Designation	Signature with Stamp
1			⊗
2			⊗
3			⊗

By order of the Board  
For

⊗  
Company Secretary / Director / Managing Director

**Note :** Co;s Letter Head should contain Address, Email ID, Phone Numbers, CIN Number as per Co Act 2013.

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**Format of letter for recording Different Signatures as compared to Pan Card**

To  
**O.J. Financial Services Ltd.**

Sir,

**Ref.: Difference in my Signature**

With reference to my Pan Card and the KYC form I have submitted herewith, I request you to record with yourselves my specimen signature as in KYC form.

Difference in my signature in KYC form & Pan Card is due to the passage of time

Your Faithfully

(\_\_\_\_\_)

Name:

**(On Company Letter Head)**  
**LIST OF AUTHORISED DIRECTORS/ AUTHORISED SIGNATORIES**

Name: .....

Designation: .....

PAN No.: .....

DIN No.: .....

Resi. Add. & Tel. No.: .....

.....

.....

.....

.....

Signature  
with  
Stamp

⊗

Please Sign  
Across the  
Photograph

⊗

Name: .....

Designation: .....

PAN No.: .....

DIN No.: .....

Resi. Add. & Tel. No.: .....

.....

.....

.....

.....

Signature  
with  
Stamp

⊗

Please Sign  
Across the  
Photograph

⊗

Name: .....

Designation: .....

PAN No.: .....

DIN No.: .....

Resi. Add. & Tel. No.: .....

.....

.....

.....

.....

Signature  
with  
Stamp

⊗

Please Sign  
Across the  
Photograph

⊗

**O.J. FINANCIAL SERVICES LTD.**

(Depository Participant : NSDL)

(SEBI Regn. No.: IN-DP-NSDL-325-2009)

901, Mercantile House, K.G. Marg, New Delhi-110001

Board No. : 49670000 (Ext. 46 &amp; 47), 23720900

E-mail : oj@ojfin.com, Website: www.ojfin.com, Complaint ID : investserve@ojfin.com



DP ID							Date								
I	N	3	0	3	7	7	8	D	D	M	M	Y	Y	Y	Y

**SPEED-e Application Form (For Password User)**

I/We wish to register for SPEED-e service as per the detail given below. I/We are also enclosing a letter from the pre-notified account holders in the prescribed format. I/We request you to activate my/our account.

Registration Request No.			
Name			
Account Details			
Client ID		DP-ID	IN303778
Sole/First Holder Name			
Second Holder Name			
Third Holder Name			
Pro-Notified Account			
Clearing Member Name			
CM-BP-ID			
Clearing Member Name			
CM-BP-ID			
Clearing Member Name			
CM-BP-ID			

To be signed by Account Holders	Name	Signature
Sole/ First Holder		⊗
Second Holder		⊗
Third Holder		⊗

To be signed by SPEED-e Holders	Name	Signature
User Name		⊗

## AGREEMENT BETWEEN THE PARTICIPANT AND THE CLIENT FOR PARTICIPATION IN SPEED-e

⊗ This Agreement is made this \_\_\_\_\_  
day of \_\_\_\_\_ Two

⊗ Thousand \_\_\_\_\_

("this Agreement") By and between \_\_\_\_\_

⊗ \_\_\_\_\_ residing/situated at \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

⊗ \_\_\_\_\_  
having account no. \_\_\_\_\_ (Here in after  
called "the Client") **And O.J. Financial Services Ltd.**  
having Registered Office at 901, Mercantile House, K.G.  
Marg, New Delhi-110001 (hereinafter called "the  
Participant"). In this Agreement, the Client and the  
Participant shall be collectively referred to as "the Parties"  
and severally as "the Party".

### WHEREAS

- A. The Participant is a duly registered depository participant and is part of the NSDL's depository system.
- B. The Participant has been registered with NSDL to offer **SPEED-e, a common infrastructure facility provided by NSDL, which enables account holders to issue instructions to depository participants through the Internet.** The Participant has agreed to receive instructions relating to the accounts and to provide information services relating to the accounts of various Clients through Internet.
- C. The Client has expressed its interest in availing of the services provided by the Participant using SPEED-e.
- D. The Parties may have executed the Depository Services Agreement pursuant to which the Client owns, controls and operates accounts with NSDL through the Participant.
- E. The Parties have agreed to record in this Agreement the terms and conditions upon which the Client may participate in SPEED-e.

NOW THEREFORE in consideration of their mutual covenants and promises contained herein, and for good and valid consideration, the receipt, sufficiency and adequacy of which is hereby acknowledged, the Parties agree as under:

### 1. Definitions and Interpretation

In this Agreement, words and expressions listed in this Clause shall carry the meaning assigned to them in this Clause:

"Business Rules" shall mean the business rules prescribed by the NSDL in pursuance of the Bye-Laws.

"Bye-laws" shall mean the Bye-laws of NSDL.

"Clients" mean persons seeking to open an depository account with participant & may have executed Depository Services Agreement.

"**Depository Services Agreement**" shall mean the "Agreement between the Participant and the Person seeking to open an account with the Participant" which may have been signed by the Client at the time of opening the account pursuant to Bye Law 9.1.5 and as prescribed in Annexure B of the Bye-Laws.

"**NSDL**" shall mean the National Securities Depository Limited, a depository registered with the Securities and Exchange Board of India under the Depositories Act, 1996, of which the Participant is a depository participant.

"**PIN**" shall mean the Personal Identification Number, either assigned to the Client or chosen by the Client pursuant to this Agreement, which may be necessary for the Client to access SPEED- e.

"**Possessed Object**" shall mean a smart card with a silicon chip or such other means capable of storing information and affixing digital signature which may be used by the Client for authorising any instruction issued by the Client to the Participant through SPEED-e.

"**Pre-notified Accounts**" shall mean accounts of such type and number as to which NSDL may permit the Client to transfer securities from the Client's account, if the Client uses only Remembered Information for the purposes of accessing SPEED-e.

"**Remembered Information**" shall mean and include such confidential information such as password, PIN or such other information used for authentication of the Client while making use of SPEED-e, as may be generated by the Client for access to SPEED-e.

"**SPEED-e**" shall mean the Internet-based common infrastructure facility provided by NSDL, which is being used by the Participant to accept instructions from the Client and to provide information about Client's account in relation to the operation of the Client's account.

"**This Agreement**" shall mean this agreement between the Parties hereto and shall include the recitals, annexures and schedules, if any to this Agreement, and any modification or amendment hereof, in accordance with the terms hereof.

"**Working Day**" shall mean any day as defined in the Business Rules of NSDL.

**In this Agreement, unless the context otherwise requires:**

- a. The singular includes the plural and vice versa;
- b. Words importing any gender include the other gender;
- c. Reference to any statute, ordinance or other law

- includes all regulations and other instruments and all consolidations, amendments, re-enactments or replacements for the time being in force;
- d. All headings, bold typing and italics (if any) have been inserted for convenience of reference only and do not define limit or affect the meaning or interpretation of this Agreement;
  - e. Reference to a Recital, Schedule, Annexure or Exhibit is to a Recital, Schedule, Annexure or Exhibit of or to this Agreement;
  - f. Reference to a person includes a natural person, body corporate, unincorporated association, government or governmental, semi governmental or municipal entity; and
  - g. reference to a party means a party to this Agreement and includes that party's successors, legal personal representatives and permitted assignees.
1. The Participant shall from time to time prescribe to the Client the minimum **specification of hardware and software** that will be required by the Client to access SPEED-e. The Participant represents that the Participant has fully complied with all the technical and operational requirements prescribed for the Participant by NSDL.
  2. The Client shall have an **option** of either having a **Possessed Object** for validation of the Client's access to SPEED-e or generating the Client's own **Remembered Information** for validation of such access by the Client. From time to time, the Participant may prescribe to the Client, in accordance with instructions received by the Participant from NSDL, such measures as may be required to ensure the safety and security of the Client's access to and usage of SPEED-e and the **Client shall abide** by the same.
  3. The Client agrees to take **adequate safety measures** for accessing SPEED-e, including but not limited to:
    - a. In the event the Client has opted for Remembered Information for access to SPEED-e, the Client shall take all the necessary steps to ensure confidentiality and **secrecy of the Client's Remembered Information** used for authentication of the Client and shall not reveal the same to any employee, agent or official of the Participant or to any other person. The Client acknowledges that failure to adhere to safety and security measures prescribed by NSDL and the Participant could lead to a loss of confidentiality and secrecy of the Remembered Information, thereby exposing the Client to the risk of financial losses.
    - b. In the event the Client has opted for the Possessed Object, for the purpose of identifying the Client in the process of authenticating the Client's access to SPEED-e, the Client shall take all necessary steps to ensure that the **Possessed Object is kept safely** with itself and not to part with possession of the same to any third party.
- The Client shall also ensure that the safety instructions issued for the usage of the Possessed Object are strictly adhered to.
4. The Client acknowledges that in the interests of the security of the Client's usage of SPEED-e, if the Client does not opt for Possessed Object as a means of authenticating the Client's access to SPEED-e, the Client shall be entitled to **transfer securities only to the Pre-notified Accounts**. Further, the Client shall submit to the Participant an undertaking in the enclosed format from the holder of the pre-notified account.
  5. The Client acknowledges that all instructions received by the Participant, authenticated pursuant to use of Remembered Information or Possessed Object shall be conclusive evidence of such instructions having been issued by the Client and shall be attributed to the Client. **The Participant shall not be held liable** for acting on the instructions so received.
  6. If the Client has reason to believe that the confidentiality of the Remembered Information has been Compromised or that the Possessed Object has been lost/misplaced/stolen, the **Client shall intimate the Participant forthwith** about such compromise or loss. The Participant shall take best efforts to forthwith disable the Client's access to SPEED-e not later than one Working Day of receipt of such intimation from the Client. However, if any instructions are received prior to such disablement, the Participant shall not be liable for losses, if any, arising out of execution of such instructions.
  7. In consideration of the access to SPEED-e, the Client **agrees to pay such charges to the Participant** as may agreed at the time of entering into this Agreement. The Participant shall reserve the right to revise the charges by giving the Client adequate advance notice, in no event lesser than thirty (30) days, to be issued either in writing or through intimation issued through SPEED-e.
  8. The Client agrees that in the event of the Client desiring to operate any **joint account through SPEED-e**, it shall be a condition precedent for usage of SPEED-e that all the joint **holders shall execute a Power of Attorney favouring any one individual** who shall be deemed to be the user of the Remembered Information or the Possessed Object for access to SPEED-e and issue of instructions to the Participant through SPEED-e. The Client hereby ratifies and upholds all such instructions issued through SPEED-e using such Remembered Information or Possessed Object, as the case may be. In the event the Client changes the holder of the power of attorney, the Client shall deposit the new power of attorney with the Participant and ensure that authority to access SPEED-e is transferred from the old power of attorney holder to the **new power of attorney** holder. The usage of and access to SPEED-e using the Remembered Information or Possessed

Object, as the case may be, shall be deemed to have been made by the holder of the power of attorney at the time of such access and use.

9. The Client shall be entitled to **change the Remembered Information on SPEED-e** from time to time.
10. The Client shall enter all its instructions in a timely manner to ensure that the same are capable of being received by the Participant by accessing SPEED-e at least **one clear Working Day prior to the execution** date expected by the Client. (For eg; if the execution date is on a Friday, the instructions must be received by SPEED-e latest by Wednesday) The receipt of instructions by SPEED-e shall be indicated by means of message receipt confirmation screen that shall be generated on the Client's computer screen, which shall be capable of being printed out for the Client's record. If the instructions are received by SPEED-e before the aforesaid deadline, the Participant shall be fully responsible for executing the same within the prescribed deadline. If the instructions are received by SPEED-e after the aforesaid deadline, the instructions may be executed by the Participant on a best-efforts basis, and the Participant shall not be liable for non-execution of the same. The Client further acknowledges that the Client shall not have any right to any claim against either the Participant or NSDL for losses, if any, incurred due to non-execution of such instructions received late and executed on a **best-effort basis**. In the event of any dispute relating to the date and time of receipt of the instructions on SPEED-e, NSDL's records shall be conclusive evidence and the Parties agree that NSDL's decision on the same shall be final and binding on both Parties.
11. The Participant shall promptly **inform the Client** about the status of the instructions received pursuant to this Agreement, but in no case later than 12.00 noon of the next Working Day of execution date of instructions.
12. The right to use SPEED-e by a Client cannot be assigned or transferred by the Client under any circumstances, otherwise than through valid issue of a **power of attorney**.
13. The Client may request for termination of this Agreement at any time by giving a notice in writing or through SPEED-e to the Participant. The Participant shall terminate the service within fifteen (15) days of receipt of such notice.
14. This agreement unless terminated earlier shall be deemed to be terminated immediately on termination of the Depository Services Agreement. (if executed)
15. The **Client agrees to indemnify**, keep indemnified and hold the Participant and NSDL harmless from any loss, damage, claim, suits, legal proceedings, investigations, expenses of every kind and any other liability whatsoever, including reasonable attorney's fees and fees of such experts as may be become necessary for NSDL and / or the Participant to engage, caused due to the availing of the services by the Client pursuant to this Agreement in any and all circumstances including without limitation, the following:
  - a. Falsehood or misrepresentation of any nature by the Client (or any person acting on behalf of the Client);
  - b. Failure to use a trustworthy system for access to Speed-e
  - c. Failure to take the precautions necessary to prevent the compromise, loss, disclosure, modification, or unauthorised use of the Client's Remembered Information, Possessed Object or the private key used to execute the Client's digital signature
16. Notwithstanding anything contained herein, the Client recognises and acknowledges that the Participant may, in accordance with instructions received by the Participant from NSDL, prescribe such other **security measures** as it deems fit, in replacement of or supplementing the validation process through the use of Remembered Information or Possessed Objects, including without limitation the use of biometrics and such other methods as would validate the identity of the Client for access to the SPEED-e system. The Client agrees that a condition precedent for the Client's access to SPEED-e is that the Client shall provide such information, data, and access to its representatives and personnel, as may be designated by the Client as the users of the SPEED-e system in order to enable Participant to generate such biometric criteria or other criteria in accordance with the security measures prescribed by Participant, in accordance with instructions received by the Participant from NSDL.
17. The **Participant may withdraw the access of the Client to SPEED-e** at any time provided a notice of at **least thirty (30) days** is given to the Client. The Participant may suspend or terminate the service without prior notice if the Client has breached any of the terms and conditions of this Agreement or the Depository Services Agreement, or if the Participant learns of the death, bankruptcy, lunacy or loss of legal capacity of the Client.
18. Any dispute or difference between the Parties shall be resolved solely by means of reference to binding arbitration under the **arbitration mechanism** as provided in the Bye-Laws and Business Rules.
19. The above terms and conditions are in addition to and do not undermine in any manner whatsoever the terms and conditions forming a part of the **Depository Services Agreement**. (if executed)
20. Each Party shall bear its own costs in the execution of this Agreement.

**IN WITNESS WHEREOF, THE PARTIES HAVE EXECUTED THIS AGREEMENT BY SIGNIFYING THEIR ASSENT HERETO BY AFFIXING THEIR SIGNATURES HERETO AS OF THE DAY AND YEAR FIRST HEREIN ABOVE WRITTEN:**

I confirm having received the Power of Attorney and have read and understood the terms of this Agreement (if applicable)

**Co.:**

Signed and delivered  
A/c Holder Signature

WITNESS  
Signature, Name & Address

\_\_\_\_\_  
(name & signature)

1. Sole/First Holder

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Power of Attorney holder**

(to be signed by the Power of Attorney holder operating the account appointed by either sole holder or joint holders)

2. Second Holder

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signed and delivered by      Witness

3. Third Holder

\_\_\_\_\_

For on behalf of      Signature, Name  
Depository Participant      & Address

**O.J.FINANCIAL SERVICES LTD.**

(For and behalf of the client)  
(to be signed by either sole holder or by each of the joint holders)

\_\_\_\_\_  
Authorised Signatory

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

**Annexure-1**

To be furnished on Company's Letterhead by Speed-e users

Dated :

Name of The client : \_\_\_\_\_

Address : \_\_\_\_\_

Depository Account No. (DP ID & Client ID) : **IN 303778**

Dear Sir/Madam,

We acknowledge you request to nominate our depository account as a **pre-notified account** for the purpose of receiving credits from your account.

We have no objection for the same.

We agree that if any securities are moved to our account which are not due to us for any reasons including but not limited to an error or fraud, we undertake to immediately return the securities to you The details of our account are under :

CM-BP-ID	I	N	5	6	5	6	9	7

CM-BP-ID	I	N	6	5	7	2	7	2

Yours faithfully

Authorised Signatories  
(To be signed by the Clearing Member)

I/We hereby nominate the above account holder as our **pre-notified account** where securities can be credited from my/our account using the common infrastructure through internet.

\_\_\_\_\_  
First Holder

\_\_\_\_\_  
Second Holder  
To be signed by the Client(s)

\_\_\_\_\_  
Third Holder

**(POWER OF ATTORNEY FOR SPEED-e in JOINT DEMAT A/c)  
(ON STAMP PAPER OF Rs 50/-)**

TO ALL TO WHOM THESE PRESENTS shall come, we:

(1) \_\_\_\_\_ Residing at \_\_\_\_\_

(2) \_\_\_\_\_ Residing at \_\_\_\_\_

(3) \_\_\_\_\_ Residing at \_\_\_\_\_

Respectively SEND GREETINGS

**WHEREAS**

We jointly own, control and operate the beneficial ownership account no. \_\_\_\_\_ of the National Securities Depository Limited ("NSDL") through M/s O.J. Financial Services Ltd. ("**Depository Participant**") and we wish to operate the said account by issue and receipt of instructions electronically through SPEED-e.

For the purposes of availing of the services provided through the said SPEED-e, we are required, in terms of our agreement with the Depository Participant to execute a Power of Attorney in favour of any single individual who shall act as our **attorney for using the Remembered Information and/or Possessed Object and thereby operate the beneficial ownership account by means of access to SPEED-e** and issue of instructions thereby, on our behalf.

It is therefore desired by all of us to appoint Mr / Ms \_\_\_\_\_

Residing at \_\_\_\_\_

\_\_\_\_\_ ("**the Attorney**"), as our lawful Attorney for access to SPEED-e, issue and receipt of instructions through SPEED-e and thereby operate our joint account and do various other acts as may be required and/or deemed fit by the Attorney for the aforesaid purpose.

**NOW KNOW YE ALL MEN BY THESE PRESENTS that WE**

(1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

DO HEREBY NOMINATE, constitute and irrevocably appoint the Attorney as our true and lawful Attorney, in fact and in law in our name and on our behalf to use the Remembered Information and / or the Possessed Object and issue and receive instructions to operate our beneficial ownership account through SPEED-e in accordance with the rules, regulations and norms prescribed therefore by the NSDL and / or the Depository Participant.

WE confirm that the usage of and access to SPEED-e by the Attorney using the Remembered Information and / or the Possessed Object shall be deemed to have been made by us and we hereby agree to ratify and confirm all and whatsoever our Attorney shall do or purport to do or cause to be done by virtue of these presents.

AND WE declare and covenant that this Power of Attorney is irrevocable for all times hereafter unless we deposit with the Depository Participant a fresh Power of Attorney jointly and we expressly replace the Attorney appointed by means of these presents, in such manner and form as may be prescribed by NSDL and the Depository Participant, and we shall be bound by all acts, deeds and things whatsoever that the Attorney shall do or purport to do or cause to be done by virtue of these presents.

Words and expressions and capitalised terms not expressly defined herein shall bear the same meaning as defined in our agreement dated \_\_\_\_\_ with the Depository Participant.

IN WITNESS WHEREOF OUR SIGNATURES ARE hereunto affixed.

Signature(s)

By Mr. / Ms \_\_\_\_\_ ⊗ \_\_\_\_\_

In the presence of ) \_\_\_\_\_ ⊗ \_\_\_\_\_

\_\_\_\_\_ ⊗ \_\_\_\_\_

By Mr. / Ms \_\_\_\_\_ ⊗ \_\_\_\_\_

In the presence of ) \_\_\_\_\_ ⊗ \_\_\_\_\_

\_\_\_\_\_ ⊗ \_\_\_\_\_

By Mr. / Ms \_\_\_\_\_ ⊗ \_\_\_\_\_

In the presence of ) \_\_\_\_\_ ⊗ \_\_\_\_\_

\_\_\_\_\_ ⊗ \_\_\_\_\_

Before me,

**Notary Public**

Accepted and Confirmed:

**Power of Attorney Holder**

(the Attorney)

**O.J. FINANCIAL SERVICES LTD.**

(Depository Participant : NSDL)

(SEBI Regn. No.: IN-DP-NSDL-325-2009)

901, Mercantile House, K.G. Marg, New Delhi-110001

Board No. : 49670000 (Ext. 46 & 47), 23720900

E-mail : oj@ojfin.com, Website: www.ojfin.com, Complaint ID : investserve@ojfin.com



**DP ID : IN303778**

**TARIFF SCHEDULE**

Normal Account Maintenance charges	Rs. 1000/- From 1 Day to 10 Years
Additional Account Maintenance Charges	Rs. 500.00 Per Annum for Corporate Account
Transaction Charges Delivery	Rs. 17.00 Per debit instruction in case delivery given to OJFSL Rs. 20.00 Per debit instruction in case delivery given to other DP
Concessional Charges for debit instruction put through Speed-e Facility of NSDL	Rs. 16.00 Per debit instruction
Speed-e Facility (Debit instruction through Internet)	Rs. 1500.00 Per Annum ( <b>Only</b> for E-Token users of Speed-e)
Rejection Charges	Rs. 17.00 Per instruction
Creation of pledge (chargeable from the Pledge or)	Rs. 50.00 Per instruction
Confirmation of Pledge Creation (chargeable from the Pledgee)	Rs. 50.00 Per instruction
Closure/Invocation of pledge	Rs. 50.00 Per instruction
Confirmation of Pledge Closure (chargeable from the Pledgee)	Rs. 50.00 Per instruction
Securities Borrowing	Rs. 50.00 Per instruction
Dematerialisation	Rs. 20.00 plus Rs. 23.00 for Courier Charges Plus Rs. 3.00 per Certificate Subject to Maximum of Rs. 250.00 Per Company
Rematerialisation	1. Rs. 15.00 for every hundred securities or part thereof, or 2. Rs. 15.00 per Certificate Whichever is higher
Delivery Instruction Book Charges	Rs. 30.00 for 10 Leafs & Rs. 35.00 for 20 Leafs Plus Rs. 23.00 for Courier Charges

Any Service Not Listed above will be Charged Extra.

- All instructions for transfer must be received in physical form from client up to 4.00 pm on "T+1" for pay in securities. Late instructions would be accepted at the account holder's sole risk and responsibility. Late fee @Rs.15/- per instruction will also be charged.
- Non-execution of delivery instruction due to any problem/error, Courier charges Rs. 23.00 per communication/dispatch.
- Modification in client master Rs. 50.00 per instance
- Non periodic statement and other communication shall be charged @Rs.5.00 per page and postage/courier charges @23.00 per courier
- In case bank mandate for debit through ECS is not given, minimum credit balance of Rs. 500.00 shall be maintained towards advance
- In case of foreign correspondence address, In addition to annual account maintenance charges, statement/communication charges @Rs. 50.00 per mail shall be charged extra.
- In case of non-payment of bill/dues within 30 days of due date, Interest shall be charged @2% per month on the outstanding dues
- In case of any upward revision in schedule of charges, 30 days notice would be given by publication in news paper/post/E-mail.
- In case of dematrejection, postage shall be charged @ Rs.23.00 for dispatch to the client for removal of objection.
- DP charges of Trading/Broking Client will be debited to their TradingA/c
- GST and other government levies extra as applicable from time to time

⊗

\_\_\_\_\_

**Sole/First Holder Sign.**

⊗

\_\_\_\_\_

**Second Holder Sign.**

⊗

\_\_\_\_\_

**Third Holder Sign.**

**For O.J.Financial Services Ltd.**

**(Director/ Authorised Signatory)**

<b>CHECK LIST</b>			
<b>S. No.</b>	<b>Documents (Ensure Clear Copies)</b>	<b>Submitted (Yes/No)</b>	<b>Exceptions (If any)</b>
1.	PAN Card		
2.	Recent Passport Size color Photograph of each holders and signature across it.		
3.	ID Proof (Please check that photo & other details are clear and proof has not crossed its expiry/validity date)		
4.	Address Proof (Please check that address & other details are clear and proof has not crossed its expiry/validity date)		
5.	Bank Proof		
6.	In case of Company Board Resolution MOA/AOA Certified Balance Sheet for the Two Years List of Directors/Authorised Signatories as per Format Latest Income Tax Return		
7.	The official should verify the Photocopies of proofs with original and should affix 'verified against original' stamp (In case of PAN card 'PAN verified from site' stamp) on all photocopies of proofs with his/her signature.		
8.	Witnesses are done wherever required		
9.	Please check that all mandatory fields are filled up.		
10.	Please check that Signatures of all holder (if any), Nominee (If any) and Guardian (If any) are done at designated places		

ACKNOWLEDGEMENT

**O.J. FINANCIAL SERVICES LTD.**

901, Mercantile House, K.G. Marg, New Delhi-110001

Board No. : 49670000 (Ext. 46 & 47), 23250600, 23720900

E-mail : oj@ojfin.com, Website: www.ojfin.com, Complaint ID : investserve@ojfin.com



**SEBI Registration No.: IN-DP-NSDL-325-2009**

**DP ID:- IN 303778**

Received with Thanks the application from Mr./Ms \_\_\_\_\_ as the sole/first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Your account will be opened and your Client Id will be intimated to you shortly. Please quote the client id allotted to you in all your future correspondence.

**O.J. Financial Services Ltd.**

Stamp and Sign

**Acknowledgment Letter to be signed by client and to be sent to O.J. Financial Services Ltd.**

Date :

**M/s O.J. FINANCIAL SERVICES LTD.**

901, Mercantile House, K.G. Marg,  
New Delhi-110001

Dear Sir's,

**Sub: Acknowledgment of Demat Account Opening Form etc. - NSDL**

This is to confirm that I/We have received following documents:-

- **Copy of Complete Demat A/c Opening Form which inter-alia, contain document on Right and Obligation of the Beneficial Owner and Depository Participant**
- **Client Master Report - Original**
- **First Delivery Instruction Booklet**

I/We look forward to a long term business relationship with your company for mutual benefit.

Thanking You

Your Faithfully

⊗

**Client's Signature**

**Client's Name :**

**Client's ID :**

**Client's Address :**



## UPDATION OF RECORD

**O J Financial Services Ltd**

901, Mercantile House, K.G. Marg,  
New Delhi-110001

Dear Sir/Madam

I/We request you to make following updation in my/our account in your records:-

<b>PARTICULAR</b>	<b>OLD</b>	<b>NEW</b>	<b>REASON</b>
Client Name (In case of change of Name self attested copy of PAN Card should be enclosed)			
Client Address (In case of change of address self attested proof of new address should be enclosed)			
AADHAAR NUMBER			
Client PAN Number			
Mobile Number			
Landline Telephone No.			
Client E-mail ID			
Client Bank A/c No. (Latest Bank Statement or cancelled preprinted cheque required)			
Client Bank Branch Address with City			
Client DP Details DP-ID Client-ID (Client Master to be attached)			
Name of the Sub-Broker/AP to whom attached			
Client Signature			
Client Code			
Date:			







**APPLICATION FOR REGISTRATION OF POWER OF ATTORNEY**

To,

**OJ Financial Services Limited**  
901, Mercantile House,  
K.G. Marg, New Delhi-110001

Dear Sir/Madam,

I/we have a trading account & Demat A/C with you ie M/s O J Financial Services Limited.

I/We hereby confirm having granted a Power of Attorney (POA) in favour of OJ Financial Services Limited (“the POA holder”) with the authority to operate the above mentioned demat accounts maintained with OJ Financial Services Limited for and my/our behalf and in my/our name/(s).

The Original/Notarized copy of the POA is attached herewith.

I/We request you to register the attached POA in your records.

Further, please register my/our mobile numbers, e-mail id for above mentioned depository account as a mandatory requirement for registration of power of attorney.

Any change in this mandate shall be registered/updated in your system only with a duly signed written request from any of the party i.e. me/us or POA holder.

Yours truly

<b>Holder</b>	<b>Holder Name</b>	<b>Signature</b>
Sole/ First Holder		⊗
Second Holder		⊗
Third Holder		⊗

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

Place: New Delhi



⊗ BY THIS POWER OF ATTORNEY I/WE \_\_\_\_\_

The undersigned (hereinafter referred to as "clients(s) "I"/ "We") Residing : \_\_\_\_\_

⊗ \_\_\_\_\_ wish to avail various services offered (hereinafter referred to as "services") by **M/s O.J. Financial Services Ltd.** (hereinafter referred to as OJFS) a company duly incorporated under the companies Act, 1956 and having Registered office at **901, Mercantile House, K.G. Marg, New Delhi-110001.** Subject to the following recitals and terms and conditions.

WHEREAS OJFS is providing under various securities related services which inter alia include but not limited to transaction in connection with purchase or sale of securities, scrip, stocks, bonds, debentures, mutual funds, units or any other financial instruments, or subscription to any offer or public issue of shares, mutual funds, including initial public offering (IPO) thereof. Buyback of shares of any other such transactions relating to securities and financial instruments.

⊗ WHEREAS I /we in this connection have Beneficiary Account No \_\_\_\_\_ with Depository Participant as specified in the KYC application to OJFS. WHEREAS in order to avail the various services being offered by OJFS I/We have also signed KYC application Form with OJFS.

WHEREAS OJFS has the following Demat Accounts to receive securities from the clients in pool and keep them separate from its own securities and in any of which only the securities shall be received on my/our account when not credited to my aforesaid Beneficiary Account (s):-

Sr. No DEMAT ACCOUNT NOs -NSE

1. 1301240000064476 (CDSL NSE Pool A/c)
2. IN565697 (NSDL NSE Pool A/c)
3. IN303778 ID 10001965 (NSDL Margin A/c)

Sr. No DEMAT ACCOUNT NOs -BSE

1. 1201910103098657 (CDSL BSE Pay-in Pool A/c)
2. 1201910103098642 (CDSL BSE Pay-out Pool A/c)
3. IN657272 NSDL BSE Pool A/c
4. IN303778 ID 10009833 (NSDL Margin A/c)

WHEREAS in order to facilitate OJFS in properly executing the various transactions on my/our behalf, I am/we are appointing OJFS as my/our attorney for all acts, deeds and things in connection with my transaction as per the KYC application Form to OJFS.

NOW THESE PRESENTS WITNESSTH THAT I/We for availing various services and for completing the various securities related transactions do hereby jointly and severally nominate, constitute and appoint OJFS, acting through its Director(s), employees or such other

persons may be authorized by it for the aforesaid purpose as my/our true and lawful attorney to do, execute and perform severally the following acts, deeds, matters and things.

1. To operate the specified Beneficiary Account(s) and issue instructions relating to dematerializing or rematerializing shares and securities, freezing of accounts and to sign and execute delivery instruction slips to effect transfer of shares/securities from my / our beneficiary account., to execute receipt instructions, pledge instructions, pledge closer instructions and all such other instructions that may be required towards stock exchange related margin / delivery obligation arising out of trades executed by me /us on the stock exchange through OJFS or to otherwise facilitate the transactions undertaken by me /us pursuant to the KYC application Form.

2. To instruct the Depository Participant to debit securities and /or to transfer securities from my beneficiary Account(s) with OJFS for the purpose of delivering the same to the clearing house of the recognized stock exchange towards any segment in respect of securities sold by me /us through them;

3. To do all such acts, deeds and thing as may be required to ensure that all deliveries of securities arising out of transactions under taken by me /us through OJFS are duly and properly completed;

4. To apply for, subscribe to, and /or redeem various securities and instructions specified herein above including equity shares, mutual fund units or nay other investment product(s) offered by OJFS on my /our behalf on my /our instructions and to make payments for all the same;

5. To facilitate OJFS to credit the refund amount on account of non-allotment /part allotment received by OJFS against my /our application in the designated bank account as specified in the Client Registration Form.

6. To charge /debit my /our account(s) towards charges /fees/ amounts etc., payable to OJFS /Depository Participant /Principal by virtue of my /our using any of any of the facilities / services provided by OJFS at my /our instance;

7. To send receive communications, instructions, statements, requisitions, acknowledgements etc., in connection with the aforesaid instruments to various parties including, the company, issuer, registrar & transfer agent, asset management company trustee, stock exchange, Government /statutory Authority etc.,

8. To execute, all documents, forms, deeds bounds, redemption requests etc., and to do all such acts or deeds in connection with the above;

9. To register this Power of Attorney with the Bank /Issuer / Registrar to an Issue, Depository Participant and or with any other party concerned;

10. To authorize the Stock Broker /Depository Participant to send consolidated summary of my /our scrip -wise buy and sell positions taken with average rates to me /us by way of SMS /email on a daily basis. Notwithstanding any

other document to be disseminated as specified by SEBI from time to time.

11. To do all such other acts or deeds which OJFS in its sole discretion considers necessary in this connection in order to complete the transaction(s) so, however, that nothing herein shall preclude me from operating the designated bank account and the Beneficiary Account, subject always to powers granted herein to OJFS for the purpose of the KYC application Form

Subject only to the satisfaction of all amounts /dues payable by me /us to OJFS in respect of any services / facilities provided in connection with this Power of

Attorney KYC application Form or any other document(s) executed between the parties, this Power of Attorney is revocable by me at any time without notice.

Provided always that OJFS would return to me/us the securities or fund that may have been received by it erroneously or entitled to receive from me/us.

I/We DO HEREBY for myself, my heirs, executor send administrators agree to ratify, confirm and validate all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents. This Power of Attorney shall be subject to the jurisdiction of the Courts in Delhi

In witness whereof I/We have executed this Power of Attorney on the day, date and year herein below mentioned

Name of 1st Holder

Name and address of 1st witness

  

Signature of 1st Holder

Signature of 1st Witness

Name of 2nd Holder

Name and address of 2nd witness

  

Signature of 2nd Holder

Signature of 2nd Witness

Name of 3rd Holder

Name and address of 3rd witness

  

Signature of 3rd Holder

Signature of 3rd Witness

Date :                      Place: New Delhi  
Accepted for and behalf of  
**O.J. Financial Services Ltd**

(Authorized Signatory)  
Date :                      Place: New Delhi



**Compliance Officer Details :**

Name : M.C. Sharma  
 Phone No. : +91-11-49670000  
 E-mail : oj@ojfin.com

**CEO Details :**

Name : Arun Gupta  
 Phone No. : +91-11-49670000, 23720909  
 E-mail : oj@ojfin.com, arun.gupta@ojfin.com

For any grievance/complaint, please contact **O.J. Financial Services Ltd.** at the above address or e-mail id: investserve@ojfin.com and Phone No. +91-11-49670000. In case not satisfied with the response, you can file your complaints online at [http:// scores.gov.in](http://scores.gov.in) or alternately please contact the concerned Depository/ SEBI at the details given below :

Depository / SEBI	E-mail Id	Phone
National Securities Depository Ltd. www.nsdl.co.in	relations@nsdl.co.in	+91-22-24994200
SEBI - Head Office	sebi@sebi.gov.in	+91-22-26449188 +91-22-26449199 1800 22 7575 or 1800 266 7575
- North Zone	sebinro@sebi.gov.in	+91-11-23724001-05

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## OUR PRODUCTS & SERVICES

**Shares (NSE, BSE, MSE)**

**F&O (--do--)**

**Currencies (--do--)**

**Commodities (MCX, NCDEX)**

**Depository (NSDL)**

**On Line / Mobile Trading**

**Technical Analysis**

**Institutional Desk**



**For Safety & Prosperity,  
Invest/Insure thru OJ**

**Insurance – Life**

- Medclaim
- General.\*

**Mutual Funds**

**IPOs**

**Bonds – Tax Free**

- Taxable
- Perpetual

**Pref. Shares**

**Fixed Deposits**

**Post Office**

**Govt. Securities**

- **P&M, Office, Household, Vehicle, Fire, Theft, Foreign Air Travel, Marine, Doctors, Jewellery, Professionals etc.**

## Invest/ Insure thru OJ