

Application No.	
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Internal Ref. No.																				
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Date																				
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DP ID	1	2	0	8	0	0	0	0	0	Client ID										
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B.O Name	_____
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Demat Account Opening Form

INDIVIDUAL/HUF NRI FOREIGN NATIONAL

INVESTSMART STOCK BROKERS PRIVATE LIMITED

(DP of Central Depository Services India Ltd.)

DPID- 12080000 DP SEBI Regn. No .IN- DP- 683-2022

Member: NSE, BSE & USE

REGISTERED OFFICE: 307-A Shree Vardhan Complex, 4, R.N.T Marg, Indore (M.P.)

Ph: 2525476, 3086022, 4025476, Fax: (0731) 2529419

Email: investsmartdp@gmail.com

Website: www.myinvestsmart.in

For any grievance/dispute please contact Investsmart Stock Brokers Pvt Ltd at the above address or Email id : issb.grievences@gmail.com and Phone No. 0731-2525476. In case not satisfied with the response please contact CDSL or email at complaints@cdslindia.com

Instructions to the Applicants (BOs) for account opening:

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

CHECKLIST FOR ACCOUNT OPEINING	
APLLICATION NO.	
INDIVIDUAL DOCUMENTS	PLEASE TICK HERE
PAN CARD PHOTOCOPY	
ADRESS PROOF	
IDENTITY PROOF	
PHOTOGRAPH	
NOMINATION FORM	
BANK STATEMENT/BANK PASSBOOK /ORIGINAL CHEQUE WITH PRINTED NAME	
HUF DOCUMENTS	PLEASE TICK HERE
PAN NO. OF HUF	
DEED OF DECLARTION OF HUF / LIST OF COPARCENERS	
BANK STATEMENT/BANK PASSBOOK ORIGINAL CHEQUE WITH PRINTED NAME OF HUF	
PHOTOGRAPH OF KARTA	
POA OF KARTA	
PAN OF KARTA	
MANDATORY FIELDS	PLEASE TICK HERE
PAN NO. TO BE MENTIONED	
PIN CODE	
MICR CODE	
BANK A/C. NO.	
PHONE NO.	
WITNESS ATPLACES	
IN PERSON VERIFICATION	
DATE OF RECEIPT	
DATE OF A/C. OPENING	
NAME &SIGN. OF A/C. RECEIVING OFFICER	
NAME &SIGN. OF A/C. OPENING OFFICER	
RECEIPT NO.	



INVESTSMART STOCK BROKERS PVT.LTD.

Regd. Office : 307 - A, Shree Vardhan Complex, 4 R.N.T. Marg, INDORE (M.P.)
Ph.:2525476, 3086022, 4025476, Fax: (0731) 2529419 Email Id – investsmartdp@gmail.com

Website: www.myinvestsmart.in CIN No. U67120MP2009PTC022375

DP ID No **12080000** Scheme Code AWT

Additional KYC Form for Opening a Demat Account (For Individuals)
CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED

Please affix the recent passport size Photograph and sign across it
X1 _____

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	8	0	0	0	0	Client ID										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a Demat Account in my/our name as per the following details:-

Holders Details

Sole / First Holder's Name	PAN																	
	UID																	
	UCC																	
	Exchange Name & ID NSE-13790, BSE-6236																	
Second Holder's Name	PAN																	
	UID																	
Third Holder's Name	PAN																	
	UID																	

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

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual Director's <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI - Non-Repatriable <input type="checkbox"/> NRI - Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
SEBI Registration No.	Date Of Approval DD MM Y Y Y Y	
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____	

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

Guardian's Name																		PAN										
Relationship with the applicant																												

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly

X2 _____

I/We request you to send Electronic Mail Transaction-Cum-Holding Statement at the email ID (If marked Yes, kindly submit Email ID)	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I/We wish to receive dividend / interest directly in to my bank account as given below through ECS. (If not marked, the default option would be `Yes`) [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Bank Details (Dividend Bank Details)

Bank Code (11digit IFSC code)											
Bank Code (9 digit MICR code)											
Account Number											
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____										
Bank Name											
Branch Name											
Bank Branch Address											
City		State		Country		PIN					

(I) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(II) Photocopy of the Bank Statement having name and address of the BO

(III) Photocopy of the passbook having name and address of the BO, or)

(IV) Letter from the Bank.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document

Other Details									
Gross Annual Income Details	Income Range per annum: <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000 Net worth as on (Date) <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> Rs. <i>[Net worth should not be older than 1 year]</i>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify)								
Please tick, if applicable;	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)								
Education	Any other information:								

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ (Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).									
Transaction Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member Ids under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%; text-align: center;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
Easi	To register for <i>Easi</i> , please visit website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.									

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Investsmart Stock Brokers Pvt Ltd. 307 A Shreevardan Complex, 4 RNT Marg , INDORE												FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																							
Date	D	D	M	M	Y	Y	Y	Y	UCC/DP ID	I	N							Client ID																	
I/We wish to make a nomination. [As per details given below]																																			
Nomination Details																																			
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																																			
Nomination can be made upto three nominees in the account.												Details of 1st Nominee					Details of 2nd Nominee					Details of 3rd Nominee													
1	Name of the nominee(s) (Mr./Ms.)																																		
2	Share of each Nominee	Equally														%					%					%									
		[If not equally, please specify percentage]														Any odd lot after division shall be transferred to the first nominee mentioned in the form.																			
3	Relationship With the Applicant (If Any)																																		
4	Address of Nominee(s)																																		
		City / Place:																																	
		State & Country:																																	
		PIN Code																																	
5	Mobile / Telephone No. of nominee(s)																																		
6	Email ID of nominee(s)																																		
7	Nominee Identification details – [Please tick any one of following and provide details of same]																																		
		Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID																																	
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																																			
8	Date of Birth (in case of minor nominee(s))																																		
9	Name of Guardian (Mr./Ms.) (in case of minor nominee(s) }																																		
10	Address of Guardian(s)																																		

X4 _____

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

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder

X5 _____

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

	First/Sole Holder or Guardian in case of minor	Second Holder	Third Holder
Name			
Signatures			
	X6 _____		

(Signatures should be preferably in black ink)

FOR OFFICE USE ONLY

	Documents verified with Original	Client Interviewed By	In- Person Verification done by
Name of the Employee			
Employee Code			
Designation of Employee			
Date			
Signature			

 Depository Participant Seal and Signature
 (Authorized Signatory)

===== (Please Tere Here) =====
Acknowledgment Receipt

Application No.	
Date	

We hereby acknowledge the receipt of the Account Opening Application Form, Rights and Obligation, Terms and condition and POA.

Name of Sole / First Holder	
Name Of Second Holder	
Name of Third Holder	

 Depository Participant Seal and Signature

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Intentionally

HUF DECLEARATION FORM

I, the karta of the HUF _____ declares member of HUF details as follows:

Sr.	Name	Sex	Date of Birth	Relation
1.				
2.				
3.				
4.				
5.				

Details of Karta

Sr.	Name				
1.	Karta				
2.	Residential Details A. Residential Address				
		City			
		State			
		Mob.No.		Email id	
	Pin				
3.	PAN / UID Number	PAN			
		UID			
4.	Photograph	<div style="border: 1px solid black; width: 200px; height: 150px; margin: 0 auto; padding: 10px;"> Please paste a recent photograph & sign across it </div>			
5.	Please Tick (if applicable)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person			

Name of Karta _____

Signature with seal (Karta-HUF) X _____

Date: _____

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI an 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,
- 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.
 - 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 Byelaws 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,Byelaws 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 Byelaws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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

[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fee

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

1	2	0	8	0	0	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

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

Sole / First Holder's Name _____

Second Holder's Name _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The Mobile number is registered in the name of _____

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

Signatures X8 _____ _____ _____
Sole / First Holder Second holder Third Holder

Place _____

Terms and Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM can not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.

16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

X9 _____

SIMPLE DOs and DON'Ts

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

X10 _____

To
Investsmart Stock Brokers Private Limited
Depository Participant
 307-A Shree Vardhan Complex,
 4, R. N. T. Marg, Indore

Sr.No.	BO IDs	Name of Holder(s)	
1.		First Holder	
2.		Second Holder	
3.		Third Holder	

I/We

1) _____ residing at _____

2) _____ residing at _____ and

3) _____ residing at _____

execute this UNDERTAKING-CUM-INDEMNITY in favor of Investsmart Stock Brokers Private Limited (a company incorporated and registered under the Companies Act, 1956) and having its Registered Office at 307-A Shree Vardhan Complex, 4, R. N. T. Marg, Indore-452001 hereinafter called "the DP" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows:

WHEREAS I/We maintain a Beneficial Owner Account(s) ("the said Account") mentioned above, with the DP at its located at 307-A Shree Vardhan Complex, 4, R. N. T. Marg, Indore-452001. As per the instructions for operation of the said Accounts, the same is allowed to be operated by us or the persons authorized, in that behalf (hereinafter referred to as "Authorized Persons").

AND WHEREAS in the day-to-day business, I am / We are required to give urgent instructions to the DP of the said Account.

WHEREAS the DP has agreed to accept, the original instructions slip, a fax submission, Email Scan copy Submission of thereof the signed by the authorized persons to operate the said account under their signatures, subject to the indemnity herein offered by me/us to the DP on the terms and conditions herein mentioned.

NOW IN CONSIDERATION OF THE ABOVE, I/We hereby irrevocably agrees, confirm and undertake to the DP as follows:

1. I/We shall transmit the Fax instructions and/ or Email Instructions only to the fax number or Email informed / provided to us by the DP.

2. The Fax and / or Email Submission shall be signed by the Authorized Persons mentioned in the list of Authorized signatories submitted by me/us and their signatures shall be in the same manner and way as has been informed to the DP by me/us and DP is hereby requested and authorized, (but is not obliged to) rely upon and act, in accordance with such Fax / Email Submission which is signed or bonafide believed by the DP to have been signed, by the Authorized Persons.

3. The DP is requested by me / us and shall be entitled to treat any Fax and /or Email Submission as fully and duly authorized by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax and / or Email Submission, in good faith as appropriate , regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax and / or Email Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax and / or Email Submission.

4. I/We shall upon making any Telefax and / or Email Submission hereunder, deliver to the DP without any delay within two working days, the original hard copy of the Fax and / or Email Submission (the hardcopy) signed by the Authorized Persons as aforesaid. Each Hardcopy shall bear the following words on the top of the instructions slip – "This is a Hardcopy of Fax / Email Submission to you, transmitted on (day) of _____(month), _____(year).

5. The DP may, but shall not be obliged to, await receipt of the Hard copy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy / Print of the Fax / Email transmission sent by me/ us shall be the conclusive evidence of instruction to the DP for having acted on such instructions and I/We hereby agree and acknowledge the same."

6. I/ We hereby agree that in case the DP does not receive the hardcopy of the instruction within 2 working days, the DP may discontinue the said facility. In such cases the DP will do so with immediate effect after informing me orally / in writing / by fax and / or Email. I/We undertake that I/We shall not hold the DP liable for any loss to me/ us in case the DP does not act on fax and / or Email instruction received by the DP in such a case.

7. The DP shall not be required to confirm (whether orally, in writing or otherwise) any fax and / or Email Submission or (verify the identity of Authorized Persons or his / her / their signatures making or giving the Fax and /or Email Submission or purporting to do so.

8. The DP shall be under no duty to set and / or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, the DP shall not be obliged to strictly adopt or comply with the same in any or every instance.

9. The DP shall not be liable for any losses or damages which I/we may suffer as a consequence of the DP acting in accordance with or in reliance upon, any Fax and /or Email Submission or otherwise pursuant to the authority conferred herein, upon the DP.

10. I/We shall indemnify the DP and CDSL and keep them indemnified and save harmless, at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by the DP or required by the incurred, suffered or paid by the DP and also against all demands, actions, suit proceedings made, filed / instituted against the DP, in connection with or arising out of or in relation to or a consequence of:

i. The DP acting pursuant to, in accordance with or relying upon, any fax and / or Email Submission or otherwise pursuant to the request and authority conferred herein: and / or;

ii. The DP acting pursuant to in accordance with or relying upon, any Fax and / or Email Submission received by the DP which it believes in good faith to be such a Fax and /or Email Submission; and / or;

iii. Any unauthorized or fraudulent Fax and / or Email Submission to the DP, PROVIDED that this indemnity shall not be available to the DP, if the liability, for which the DP seeks indemnification hereunder, arises directly and completely from its own negligence or willful default.

iv. The DP not having acted on the Fax and / or Email Submission due to non receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.

v. The DP not having acted on any Fax and / or Email Submission sent by me / us on a number other than the number mentioned by the DP for the purpose of fax and / or Email transmission.

11. The DP shall not be under any obligation at any time to maintain any facility for the receipt of any Fax and / or Email Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I / We shall not hold the DP liable for any loss consequent to no availability of the said fax and /or Email facility.

12. I / We acknowledge and confirm that I am / we are aware that by the very nature of telecommunication / Internet services, the Fax and or Email transmission may not be received properly and may be clearly legible. I /We agree to assume and bear all the risks involved in respect of such errors and misunderstanding and the DP shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising there from.

13. This indemnity is without prejudice to the DP's other rights, privileges, powers and remedies in law and the DP may delay enforcing its rights without at any time losing them and any waiver of a right by the DP hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.

14. The DP may stop / terminate this facility given to me / us giving seven day prior written notice to me / us. However, any such termination shall not affect anything done or any rights or liabilities accrued or incurred prior to the termination and all the above indemnities given by me / us to the DP hereunder shall survive any such termination. However, in case of termination as mentioned in point 6 above, no such notice need to be given by the DP.

The Provisions relating to arbitration contained in the agreement executed by us in favour of the DP shall be applicable to any dispute or difference that may arise in respect of such fax and / or Email transmission including all disputes with regard to the receipt of the fax and / or Email transmission by the DP.

I / We specifically agree and confirm that regardless of the place from which the fax and / or Email transmission in question may have been transmitted to the DP any matter arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the exclusive jurisdiction of the courts of Indore (India) alone.

Dated at _____ this _____ day of _____, _____.

Given by:

Signature of Account Holder's

X

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature	X 11 _____		

Details of the Witness	First Witness	Second Witness
Name of Witness		
Address of Witness		
Signature of Witness		

FAMILY ACCOUNTS

To,
INVESTSMART STOCK BROKERS PRIVATE LIMITED

307-A Shree Vardhan Complex,
4, R.N.T. Marg, Indore, (M.P.)

Dear Sir

We the below mentioned entities constituents have been regularly trading and investing with you and we are having our trading account / Demat account with you.

For the purpose of operations with you, we have agreed among ourselves to be treated collectively as a FAMILY of account. In order to facilities operations within regulatory requirement

We authorize you to accept same mobile number or email ID or both in our various accounts as permitted by regulators and mentioned in our account opening form.

Sr. No.	BO ID Family	Name of Family Constituent	Relation	Signature
1				
2				
3				
4				
5				

We have affixed our signatures above consenting to the above mentioned term of adjustments.

Name of the Client _____

Signature _____

BO ID _____

Date _____ Place _____

***Family means Self, Spouse, DEPENDENT Children, DEPENDENT Parents (Circular No. CDSL/OPS/DP/POLICY/5139)**

Demat Debit and Pledge Instruction.

Client Trading Code _____ **Depository BO id 12080000 000**_____

We the undersigned having above mentioned Trading & Depository BO id particulars execute Demat Debit and Pledge Instruction in favour of **Investsmart Stock Brokers Pvt Limited** having office at 307 A Shreevardhan Complex Indore in order to facilitate our Trading operations with **Investsmart Stock Brokers Pvt Limited** for the purpose mentioned herein

S.No.	Purpose	Signature of Client*
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	X11 _____
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	X12 _____
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	X13
4	Tendering shares in open offers through Stock Exchange platforms	X14

Details of B.O. Accounts

Sr. No	B.O Account No.	Purpose of Transfer	Signature
1	1208000000002467	To meet Client Margin Pledge/Repledge requirement in favour of Clearing Member/ Corporation towards obligation in cash / F & O / Currency Segment for NSE/BSE and other recognized exchange on which ISBPL is member & client is registered for the same	
2	1208000000000041	To make Pay-in / Early Pay-in of Securities	
3	1208000000000094	To make Pay-in / Early Pay-in of Securities	

4	1100001100019853	To Early Pay-in of Securities (NSE)	X15 _____
5	1100001000022114	To Early Pay-in of Securities (BSE)	

AND I / We ratify the instructions given by the aforesaid **Investsmart Stock Brokers Private Limited** to the Depository Participants named hereinabove in the manner specified herein.

AND I / We agree and confirm that power and authorities conferred by this Demat Debit & Pledge Instruction shall continue until I / We may revoke the same by written communication to **Investsmart Stock Brokers Private Limited s** DP Division at Indore

Signature of Account Holder's

	First I Sole Holder	Second Holder	Third Holder
Name			
Signatures	X16 _____		

CDSL ACCOUNT TARIFF – INVESTOR

Sr. no.	Item	Charges
1.	Account Opening Charges	Nil
2.	Annual Membership Charges	Rs. 350/-
3.	KRA	Rs. 50/-
4.	Purchase (Market and Off-Market)	Nil
5.	Sales (Market and Off-Market)	0.030% (Min Rs 20/-) plus Depository Charges
6.	Dematerialization	Rs. 15/- per Certificate
7.	Postage Per Demat Request/Reject	Rs. 50/-
8.	Rematerialization	Rs.25/- per Certificate plus Depository Charges
9.	Processing/Postage Per Remat Request	Rs. 50/-
10.	Creation/Confirmation of Pledge	0.02%(Min. Rs. 35/-) plus Depository charges
11.	Creation/Confirmation of Closure of Pledge	0.02%(Min. Rs. 35/-) plus Depository charges
12.	Invocation	Rs. 50/- per txn. plus Depository charges
13.	Margin Pledge/Unpledged/ Pledge Closure	0.02% of the value of scrip (Min Rs 25)
14.	Margin Repledge	0.02% of the value of scrip (Min Rs 25)
15.	Failed transaction charges	Rs. 25/- per txn.
16.	Late transaction charges	Rs. 10/- per txn.
17.	Account Modification Charges	Rs 50/-

- Notes:**
1. All the percentages in the above tariff would be applied on the value of the transaction as computed by depository.
 2. The rates depend on the existing Depository charges and will be revised on revision by Depositories. The charges are also subject to revision by ISBPL.
 3. All taxes/levies/cess as applicable
 4. Initial Imprest Amount to be paid is Rs.500/- including Service Tax.
 5. Services not mentioned herein will be charged separately as per the rate applicable from time to time.*

Signature of Client X17 _____

TARIFF STRUCTURE FOR CDSL-DP (BSDA ACCOUNTS)

Sr. no.	Item	TARIFF PLAN - I	TARIFF PLAN - II
		UPTO 4,00,000	4,00,000 TO 10,00,000
1.	Account Opening Charges	Nil	Nil
2.	Annual Membership Charges	Nil	100/-
3.	KRA	50/-	50/-
4.	Purchase (Market and Off-Market)	Nil	Nil
5.	Sales (Market and Off-Market)	0.030% (Min Rs 20/-) plus Depository charges	0.030% (Min Rs 20/-) plus Depository charges
6.	Dematerialization	Rs. 15/- per Certificate	Rs. 15/- per Certificate
7.	Postage Per Demat Request/Reject	Rs. 50/-	Rs. 50/-
8.	Rematerialization	Rs.25/- per Certificate plus Depository	Rs.25/- per Certificate plus Depository
9.	Processing/Postage Per Remat	Rs. 50/-	Rs. 50/-
10.	Creation/Confirmation of Pledge	0.02%(Min. Rs. 35/-) plus Depository	0.02%(Min. Rs. 35/-) plus Depository
11.	Creation/Confirmation of Closure of	0.02%(Min. Rs. 35/-) plus Depository	0.02%(Min. Rs. 35/-) plus Depository
12.	Invocation	Rs. 50/- per txn. plus Depository charges	Rs. 50/- per txn. plus Depository charges
13.	Margin Pledge/Unpledged/ Pledge	0.02% of the value of scrip (Min Rs 25)	0.02% of the value of scrip (Min Rs 25)
14.	Margin Repledge	0.02% of the value of scrip (Min Rs 25)	0.02% of the value of scrip (Min Rs 25)
15.	Failed transaction charges	Rs. 25/- per txn.	Rs. 25/- per txn.
16.	Late transaction charges	Rs. 10/- per txn.	Rs. 10/- per txn.
17.	Account Modification Charges	Rs 50/-	Rs 50/-

Notes:

1. All the percentages in the above tariff would be applied on the value of the transaction as computed by depository.
2. The rates depend on the existing Depository charges and will be revised on revision by Depositories. The charges are also subject to revision by ISBPL.
3. All taxes/levies/cess as applicable
4. Initial Imprest Amount to be paid is Rs.500/- including Service Tax.
5. Services not mentioned herein will be charged separately as per the rate applicable from time to time..

Signature of Client X18 _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date	D	D	M	M	Y	Y	Y	Y
------	---	---	---	---	---	---	---	---

DP ID	1	2	0	8	0	0	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
INVESTSMART STOCK BROKERS PRIVATE LIMITED
307-A Shreevardhan Complex
4 R.N.T Marg, Indore

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

OPTION 1:

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	X _____		

OR

OPTION 2:

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

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	X _____		

===== (Please Tear Here) =====

Acknowledgement Receipt

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

DP ID	1	2	0	8	0	0	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

DEBIT AUTHORIZATION

To,

INVESTSMART STOCK BROKERS PVT. LTD.

307 -A, Shree Vardhan Complex,
4, R.N.T. Marg, Indore-452001 (M.P.)

Sub. : Authority to debit the D-mat Account Charges from my trading account with you

Beneficiary Client ID	1 2 0 8 0 0 0 0
Trading Account Code (With Broker)	

Dear Sir,

1. I/We have a beneficiary account with Investsmart Stock Brokers Pvt. Ltd (DP) with client ID as mentioned above.
2. Further I/We have trading account with Investsmart Stock Brokers Pvt. Ltd (trading account codes mentioned above)
3. I/We find it extremely inconvenient to issue cheque for the depository bills and client Registration Charges etc for my/ our BO account mentioned above.

Therefore I/We here by authorize you to debit my / our Trading Account Maintained with Investsmart Stock Brokers Pvt. Ltd , for the dues against my/our above BO a/c. for depository Bills and other charges. Any sum credited to my/our DP account shall be binding on me/us.

Thanking you
Yours faithfully,

Signature of Client X19 _____
Name of Client _____

LETTER OF AUTHORITY/MANDATE FOR ISSUANCE OF STATEMENT IN ELECTRONIC FORM

Dear Sir/Madam,

I/ We hereby give consent and authorize you to send me digital signed transaction statement, monthly/quarterly demat statement of accounts/ holding statement(s)/bills or other reports, statement(s), related notices, Circulars, amendments and such other correspondence, documents, records by whatever name called (hereafter referred to as "statement(s)") issued from time to time and correspondences from R & T / Companies as per the MCA green initiatives, at the below mentioned email id :

Email Id (To be updated at 1st holder email id field)	
---	--

Further I/We (referred to as client below) have read the terms and conditions mentioned below and agree to the same:

- i) I/ We are aware that we will not receive the transaction statements in paper form.
- ii) I/ We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- iii) I/ We are aware that the transaction statement may be accessed by other entities in case the confidentiality/secretcy of the login name and password is compromised.
- iv) In case the statements are sent by email, I/We shall immediately inform the DP about change in email address, if any.
- v) Further, The DPs and I/We shall have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.
- vi) I/We are aware that the above mentioned email id will get updated against the 1st holder email id in our demat account.

BOID 1 2 0 8 0 0 0 0 -

Mobile No.:

Signature of Holders: *X20 _____

FATCA & CRS Declaration - Individual

(Only for DP account with ISBPL to be filled in)

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

If yes please indicate the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform **Investsmart Stock Brokers Pvt. Ltd.** for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here (21) :

Date : DD / MM / YYYY

Place : _____

Declaration for availing of Basic Services Demat Account (BSDA) facility

To,
Investsmart Stock Brokers Pvt. Ltd.
 307-A, Shreevardhan Complex
 4, RNT Marg, Indore(M.P.)

Date:										
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Dear Sir / Madam,

- I / We wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form
- I / We do not wish to avail the BSDA facility for the new account for which we have submitted my / our account opening form
- I / We wish to avail the BSDA facility for my / our below mentioned demat account number

DPID	1	2	0	8	0	0	0	0	0	ClientID									
------	---	---	---	---	---	---	---	---	---	----------	--	--	--	--	--	--	--	--	--

	Name	PAN																		
Sole/FirstHolder																				
Second Holder																				
Third Holder																				

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

I/We wish to avail the SMS Alert Facility provided by Depository on +91_____My/our mobile No.

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

	Sole / First Holder	Second holder	Third holder
Signatures			
	X(22)		

KYC FORM RECEIPT

To,
INVESTSMART STOCK BROKERS PVT. LTD.
 307 -A, Shree Vardhan Complex,
 4, R.N.T. Marg, Indore (M.P.)

Subject: Acknowledgment of Receipt of a Copy of KYC & Other Documents

Dear Sir,

This is to acknowledge that I /We _____ have received a copy of all duly complete documents viz. Client registration Form (KYC), Rights & Obligation Documents, Terms and condition Investor charter and copy of all document executed by me / us as a Client.

I/We hereby declare that I/We have the full Intimation of BO ID and email id for the purpose of receiving electronic contract note and other.

Thanking you.

Client Signature X(23) _____

Client Name _____ **(23)**



INVESTSMART
STOCK BROKERS

INVESTSMART STOCK BROKERS PRIVATE LIMITED

(DP of Central Depository Services India Ltd)