For Non-Individual **Additional Form for Opening a Demat Account** **Annexure 2.2**

ANTIQUE STOCK BROKING LIMITED
ITI House 36, Dr. R. K. Shirodkar Road, Parel Mumbai -400012. Tel.: +91-22-6911- 3300
Fax.: +22-6911-3400 Email: cdsl@antiquelimited.com
DP ID: 37300. D.P. SEBI REG. NO. IN-DP-CDSL-721-2022
Reg. Address: ITI House 36, Dr. R. K. Shirodkar Road, Parel Mumbai -400012

(To be filled by the Depository Participant)

Application No.									Date	D	D	M	M		Y	Y	Y	Y
DP Internal Reference No.																		
DP ID									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 following details:-

Holders Details

Sole / First Holder's Name		Search Name		PAN										
				UCC										
				Exchange Name & ID										
				PAN										
Second Holder's Name				UID										
				PAN										
Third Holder's Name				UID										

***Exchange ID**

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**
☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Other (Specify) ___				**To be filled by the DP**
SEBI Registration No.(If Applicable)		SEBI Registration date	D D M M Y Y Y Y	
RBI Registration No.(If Applicable)		RBI Approval date	D D M M Y Y Y Y	
Nationality	☐ Indian ☐ Others (specify)_____			

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] ☐ Yes ☐ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Monthly ☐ Fortnightly
I / We request you to send Electronic Transaction-cum-Holding Statement at the e mail ID_____	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)	

Clearing Member Details (To be filled by CMs only)

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

I / We wish to receive dividend / interest directly in to my bank account given belowthrough ECS (if not marked, the default option would be 'Yes') [ECS is mandatory forlocations notified by SEBI from time to time]	☐ Yes ☐ No

Bank Details [Dividend Bank Details]

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

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 thedocument.

Other Details:	
Gross Annual IncomeDetails	Income Range per annum: ☐ Up to Rs 1,00,000 ☐ Rs 1,00,000 to Rs.5,00,000 ☐ Rs.5,00,000 to Rs. 10,00,000 ☐ Rs. 10,00,000 to Rs. 25,00,000 ☐ Rs.25,00,000 to Rs. 1,00,00,000 ☐ More than Rs.1,00,00,000
	Net worth as on (Date) D D M M Y Y Y Y Rs [Net worth should not be older than 1 year]
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐. Please provide details as per Annexure2.2 A.	
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 thisoption).	
Easi	To register for ***e***asi, please visit our website www.cdslindia.com. ***E***asi allows a BO to view his ISIN balances, transactions and value of theportfolio online.	

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE learing MemberAccounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleadinginformation given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorised Signatory	**Second Authorised Signatory**	**Third Authorised Signatory**
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)
(***Signatures should be preferably in black ink***).

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

Acknowledgement Receipt

Application No.: **Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

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

Depository Participant Seal and Signature

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [For-non-individual]

Name of holder_____PAN of the holder_____

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

Name & Signature of the Authorised Signatories Date__/____/__ **PEP**: Politically Exposed Person **RPEP:** Related to politically Exposed Person

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.

****

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 theBO 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 SMSalerts 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 without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

(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 Sole / First Holder Second holder Third Holder

Place: _____

Date: _____

ANTIQUE STOCK BROKING LIMITED
ITI House 36, Dr. R. K. Shirodkar Road, Parel Mumbai -400012. Tel.: +91-22-4031 3300 Fax: +22-4031-3400 Email: cdsl@antiquelimited.com DP ID: 37300. D.P. SEBI REG. NO. IN-DP-CDSL-721-2022
Reg. Address: ITI House 36, Dr. R. K. Shirodkar Road, Parel Mumbai -400012

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

Bo ID: 12037300 - _____

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 fromtime to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system onlyafter 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 personexcept 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 andtransfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

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

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

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form andmanner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOsand shall resume sending the transaction statement as and when there is a transaction in theaccount.

16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty daysto the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

    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

23. 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.

24. 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

25. 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

26. 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

27. 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.

28. 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 andBye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

29. 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.

30. 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

31. 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.

32. 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.

Antique Stock Broking Limited
(A part of The Investment Trust of India Limited Group)
Regd office: ITI HOUSE 36, Dr. R. K. SHIRODKAR ROAD,
PAREL MUMBAI – 400012

THE INVESTMENT TRUST OF INDIA

Schedule of Charges for DP ID 37300

1	Account Maintenance Charges	
	a. For Individual	Rs. 300/- P.A.
	b. For Other and Corporates	Rs. 800/- P.A.
2	Dematerialisation Charges	Rs. 3/- per certificate minimum Rs. 100/- per scrip
3	Rematerialisation Charges	Rs. 15/- per certificate
4	Transaction Charges	Debit (Market/off market/ Inter Depository)Rs. 15/- per scrip
5	Pledge – creation / closure / invocation	Rs. 25/- per scrip
6	Statutory Charges	Rs. 510/- (POA Franking Charges)

Transaction charges will be calculated on closing price of the scrip on the date of execution. The charges stated above are subject to periodic review by CDSL & also subject to revision by us. GST will be charged separately as stipulated by statutory authorities from time to time.

_____

Client's Signature

Consent Letter

Date:

To,
ANTIQUE STOCK BROKING LTD.
ITI House 36, Dr. R. K. Shirodkar Road,
Parel, Mumbai – 400 012

Re: Beneficial Owner (BO) Account No. 12037300 000_____

I/We _____ [name(s) of the BO(s)] had entered into agreement dated _____with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL). I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my /our BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

(Email address: _____)

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

Name/s of the Beneficial owner/s Signature/s

Name [1]. _____ X _____

Name [2]. _____ X _____

Name [3]. _____ X _____

Self-Certification for Entities (non-individuals who are not listed/ not an Indian Financial Institution)

To,
ANTIQUE STOCK BROKING LTD.
ITI House 36, Dr. R. K. Shirodkar Road,
Parel, Mumbai – 400 012

We hereby declare that

- The account holder is not a Government body/International Organization/ listed company on recognized stock exchange
- The account holder is not tax resident of any country other than India
- The account holder is not an Indian Financial Institution as defined under Rule 114F(3) of the Income Tax Rules, 1962 as amended
- The substantial owners or controlling persons in the entity or chain of ownership is/are
    - not resident for tax purpose in any country outside India
    - are Indian citizen(s)

Under penalty of perjury, we further certify that:

- We understand that the Antique Stock Broking Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Antique Stock Broking Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. We shall seek advice from professional tax advisor for any tax questions.
- We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- We agree that as may be required by domestic regulators/tax authorities the Antique Stock Broking Limited may also be required to report, reportable details to CBDT or close or suspend our account.
- We certify that we provide the information on this form and to the best of our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

Self-Certification for Entities (non-individuals who are not listed/ not an Indian Financial Institution)

To,
ANTIQUE STOCK BROKING LTD.
ITI HOUSE 36, Dr. R. K. SHIRODKAR ROAD,
PAREL MUMBAI – 400 012.

We hereby declare that

Part I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange	Yes/ No
If "No", then proceed to point B	
If "yes" please specify name of stock exchange, if you are listed company and proceed to sign the declaration	
B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India	Yes/No
If "yes", then please fill of FATCA/ CRS Self certification Form If "No", proceed to point C	
C. Is the account holder an Indian Financial Institution	Yes/ No
If "yes", please provide your GIIN, if any	
If "No", proceed to point D	
D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen	Yes/No
If "yes", (then please fill FATCA/ CRS self-certification form). If "No", proceed to sign the declaration	

Customer Declaration

( ) Under penalty of perjury, we certify that:

1. The applicant is:
(i) An applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,
(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as a US person)
2. The applicant is an applicant taxable as a tax resident under the lows of country outside India.
(ii) We understand that the Antique Stock Broking Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The Antique Stock Broking Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. We shall seek advice from professional tax advisor for any tax questions.
(iii) We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
(iv) We agree that as may be required by domestic regulators/tax authorities the Antique Stock Broking Limited may also be required to report, reportable details to CBDT or close or suspend our account.
(v) We certify that we provide the information on this form and to the best of our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

Part II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and CommonReporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Customer id (if existing)	
Entity Constitution Type (Refer Appendix 2)	
Entity Identification type (Refer Appendix 2)	T G C E O
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non-Financial entities

We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	Yes/No
If "Yes", please provide your U.S. Taxpayer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	Yes/No
If "Yes", please provide your TIN or its functional Equivalent	
Provide your TIN issuing country	
Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non-financial entities (NFFE)	
Active NFFE	Yes/No
Passive NFFE without any controlling Person	Yes/No
Passive NFFE with Controlling Person(s)	US/ Others
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus Antique Stock Broking Limited is not required to do the reporting)	Yes/No
Please provide GIIN number	

Section 3: Classification of financial institutions (including Banks)We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	Yes/No
If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)	
Please provide GIIN, if any	
If "No", please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter-Governmental Agreement ("IGA") Jurisdiction	
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
Participating FFI in a Non-IGA Jurisdiction	
Non-reporting FI	
Non-Participating FI	
Owner-Documented FI with specified US owners	

Section 4: Controlling person declaration

If you are classified as "Passive NFFE with Controlling Person(s)" or "Owner documented FFI" or"Specified US person", please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuin gCountry	Controlling person Type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5: Declaration

(i) Under penalty of perjury, we certify that:
1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any

state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or

3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(ii) We understand that the Antique Stock Broking Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The Antique Stock Broking Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. We shall seek advice from professional tax advisor for any tax questions.

(iii) We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) We agree as may be required by /Regulatory authorities, Antique Stock Broking Limited shall be required to comply to report, reportable details to CBDT or close or suspend our account.

(v) We certify that we provide the information on this form and to the best of our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

We hereby confirm that details provided are accurate, correct and complete

Signature (as per MOP)	
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons

(Mandatory for Non-individual Investors)

I: Investor details:

Name of the Investor:														
PAN*														

** If PAN is not available, specify Folio No. (s)*

II: Category

☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company [If this category is selected, no need to provide UBO details] ☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated association / body of individuals ☐ Public Charitable ☐ Private Trust

☐ Religious Trust ☐ Trust created by a Will ☐ Others [please specify] _____

UBO / Controlling Person(s) details

Sr No.	Name of UBO#	Country Of Tax Residency#	Taxpayer Identification number/PAN / Equivalent ID Number#	Identification Type#	% of beneficial interest#	CP/UBP Code# *(Refer Instructions E)*	Place & Country If Birth#	Date of Birth (dd-mmm-yyyy)$	Address$, Address Type* & Contact details (include City, Pin code, State, Country	Gender$ (Male, Female, others)	Father's Name$	Nationality $	Occupation (Service, Business, Others)

 # Mandatory fields

** Address Type should either Residence or Business or Registered Office*

$ Mandatory if PAN of UBO/Controlling persons is not provided

Note: If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory

**Note that some of the Mutual Funds may call for additional information/documentation wherever required or if the given information is not clear / incomplete / incorrect and you may to have provide the same as and when solicited*

Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you to disclose, share, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end. As may be required by domestic or overseas regulators/ tax authorities, I/We authorize Fund/AMC/RTA to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same

Signature with relevant seal:

Authorized Signatory	Authorized Signatory	Authorized Signatory

Place: _____

Date: ___/_____/ _____

Annexure - A

Investor Charter – Depository Participant

Dear Investor,

We refer to the SEBI Circular dated December 15, 2021 wherein SEBI has prepared an Investor Charter for Depository and Depository Participant providing below information to the investors:

Investor Charter (CDSL)

1. Vision

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

2. Mission

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

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

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

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

(1) Basic Services

Sr. No.	Brief about the Activity / Service	Expected timelines for processing the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days
4.	Re-conversion / Restatementisation of Mutual fund units	7 days

5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day

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

Sr. No.	**Types of Activity/Service**	**Brief about the activity / Service**
1.	Value Added Services a. Basic Services Demat Account(BSDA)	Depositories also provide value added services such as The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 50,000. For value of holdings between Rs 50,001-2,00,000, AMC not exceeding Rs 100 is chargeable. In case of debt securities, there are no AMC charges for holding value upto Rs 1,00,000 and a maximum of Rs 100 as AMC is chargeable for value of holdings between Rs 1,00,001 and Rs 2,00,000.
	b. Transposition cum dematerialization	In case of transposition-cum-dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.
	c. Linkages with Clearing System	For actual delivery of securities to the clearing system from the selling brokers and

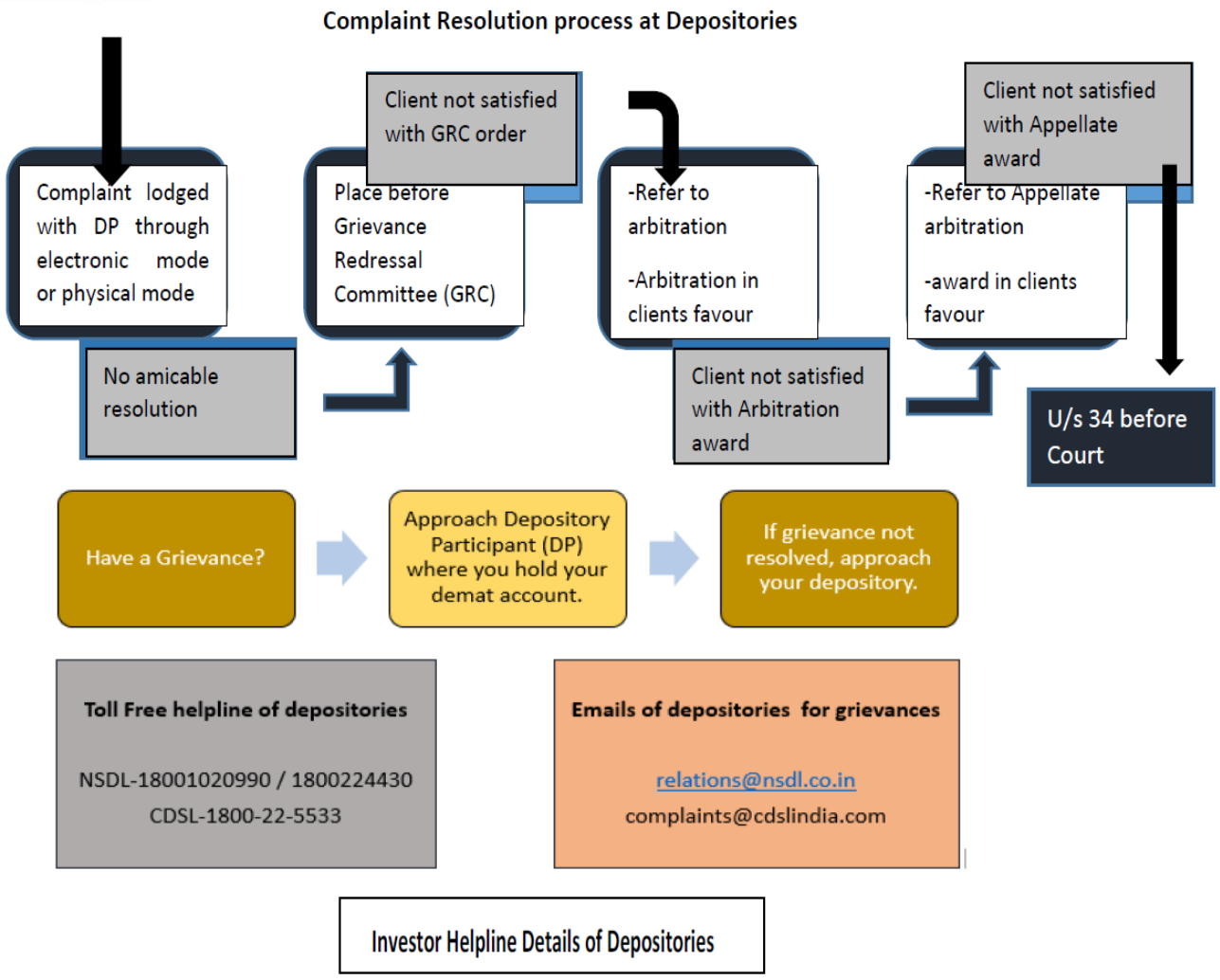
		delivery of securities from the clearing system to the buying broker.
	d. Distribution of cash and non-cash Corporate benefits (Bonus, Rights, IPOs , Stock lending etc.)	
2.	Consolidated A	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:
	a. E-account opening	N.A.
	b. Online instructions for execution	Internet-enabled services like Easiest (CDSL) empower a demat account holder in managing his/her securities 'anytime-anywhere' in an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account.
	c. e-DIS / Demat Gateway	N.A.
	d. e-CAS facility	Consolidated Account Statements are available online to facilitate the investors to view their holdings in demat form.
	e. Miscellaneous services	Transaction alerts through SMS to investor queries etc. have also been developed.

5. <u>Details of Grievance Redressal Mechanism</u>

(1) The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a) **Electronic mode -** (i) SCORES (a web based centralized grievance redressal system of SEBI) [https://scores.gov.in/admin/Welcome.html] (ii) Respective Depository's web portal dedicated for the filing of compliant [https://www.cdslindia.com/Footer/grievances.aspx] (iii) Emails to designated email IDs of Depository [CDSL - complaints@cdslindia.com] b) **Offline mode :** Emails to designated email IDs of Depository Participant [cdsl@antiquelimited.com] , [compliance@antiquelimited.com] `The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.
2.	Investor Grievance Redressal Committee of Depository	If no amicable resolution is arrived, then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by hearing the parties, and examining the necessary information and documents.
3.	Arbitration proceedings	The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).

(2) For the Multi-level complaint resolution mechanism available at the Depositories



6. <u>Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant</u>

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

	• Participant surrenders the participation by its own wish.	

7. <u>Dos and Don'ts for Investors</u>

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

12.	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions
13.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.gov.in/scores/Welcome.html
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
18.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments.
20.	Beware of assured/fixed returns.

8. <u>Rights of investors</u>

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

- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

9. <u>Responsibilities of Investors</u>

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