

Form Sr. No. OHM



**Ohm Stock Broker Private Limited**

**Depository Services  
Account Opening Form  
Individual**

**CENTRAL DEPOSITORY SERVICES (INDIA) LTD.**

**12089800**

Internal Ref. No.

Account No. \_\_\_\_\_

Client Name \_\_\_\_\_

# Application Form for Opening a Demat Account

( For Individuals )

<p><b>DP : OHM STOCK BROKER PRIVATE LIMITED</b></p> <p><b>301-A, POONAM CHAMBERS,B-WING, 3RD FLOOR,DR. A.B. ROAD, WORLI, MUMBAI,MAH-400018</b></p> <p>Tel : 022 4613 5555 Fax : 022 4613 5598</p> <p>Email-ohmbrk@rediffmail.com,jignesh@ohmbrk.com,mustafa@ohmbrk.com</p> <p>DP ID : 89800 DP SEBI Reg. No. IN - DP -420-2019</p>
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(To be filled by the Depository Participant)

Application No.	Date
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		PAN																		
	UID																			
Second Holder's Name		PAN																		
	UID																			
Third Holder's Name		PAN																		
	UID																			

<b>Name *</b>	_____
<p>*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.</p>	

**Type of Account (Please tick whichever is applicable)**

Status	Sub – Status
<input checked="" type="checkbox"/> <b>Individual</b> <input type="checkbox"/> NRI <input type="checkbox"/> Foreign National	<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"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____ <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____ <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 checked="" 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input checked="" type="checkbox"/> <b>Monthly</b>
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical / <input checked="" type="checkbox"/> <b>Electronic</b> / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)

<p>I/ We wish to receive dividend / interest directly in to <b>my</b> 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 ]</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)																					
IFS Code (11 character)																					
Account number																					

Account type	<input checked="" type="checkbox"/> <b>Saving</b> <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____																				
Bank Name	_____																				
Branch Name	_____																				
Bank Branch Address	_____																				
City		State										INDIA	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 the document.

Other Details Gross Annual Income Details	<b>Income Range per annum:</b>																				
	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ` 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000																				
	Net worth as on (Date)	D	D	M	M	Y	Y	Y	Y	Y	Y	Rs	[Net worth should not be older than 1 year]								
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)																				
Any other information:	_____																				

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	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).	
<b>Easi</b>	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

**Nomination Details**

Nomination Registration No.	Dated

- I /We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that: **I/We do not wish to nominate any one for this demat account.**
- I/We **nominate** the following persons who is/**are** entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:		.....	.....
Middle Name:		.....	.....
*Last Name		.....	.....
Nomination Details	Nominee 1	Nominee 2	Nominee 3
*Address:			
*City			
*State			
*Pin			
*Country			
Telephone No.			
FAX No.			
PAN No.			
UID			
Email ID			
*Relationship with the BO:			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy	N.A.		

Name of the Guardian of Nominee (if nominee is a minor) *First Name: ..... Middle Name: ..... *Last Name: .....			
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Telephone			
Fax No.			
Email ID			
*Relationship of the Guardian with the Nominee			
*Percentage of allocation of securities			
*Residual Securities [please tick any one nominee. If tick not marked default will be first nominee]:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note :** Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any. \* **Marked is Mandatory field**

X \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
(Sole/First Holder) (Second Holder) (Third Holder)

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

**Note: One witness** shall attest signature(s) / thumb impression(s)

Details of the Witness	
	<b>First Witness</b>
Name of witness	
Address of witness	
Signature of witness	

I have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I 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 agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me 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			

(Signatures should be preferably in blue ink).

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

**Application No.:**

**Acknowledgement Receipt**

**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**

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

**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 8<sup>th</sup> 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 Blue / black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

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**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](mailto: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.

X \_\_\_\_\_  
(Sole/First Holder)

X \_\_\_\_\_  
(Second Holder)

X \_\_\_\_\_  
(Third Holder)

**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	1	2	0	8	9	8	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	_____	_____	_____
	Sole / First Holder	Second holder	Third Holder
Place:			Date:

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date									
------	--	--	--	--	--	--	--	--	--

DP ID	<b>1</b>	<b>2</b>	<b>0</b>	<b>8</b>	<b>9</b>	<b>8</b>	<b>0</b>	<b>0</b>	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,  
**Ohm Stock Broker Private Limited**  
 301-A, POONAM CHAMBERS,B-WING,  
 3RD FLOOR,DR. A.B. ROAD, WORLI,  
 MUMBAI,MAHARASHTRA-400018

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			

**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 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. 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			

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

**Acknowledgement Receipt**

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

DP ID									Client ID								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

**Depository Participant Seal and Signature**



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

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued bythe 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.

X \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
(Sole/First Holder) (Second Holder) (Third Holder)

**Statement of account**

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

**Manner of Closure of Demat account**

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

**Default in payment of charges**

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

**Liability of the Depository**

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

X \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
(Sole/First Holder) (Second Holder) (Third Holder)

**Freezing/ Defreezing of accounts**

- 22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
- 23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

**Redressal of Investor grievance**

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

**Authorized representative**

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

**Law and Jurisdiction**

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

X \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
(Sole/First Holder) (Second Holder) (Third Holder)

## Ohm Stock Broker Private Limited

301-A, Poonam Chambers, "B" wing, 3<sup>rd</sup> Floor, Shivsagar Estate, Dr. A.B. Road, Worli, Mumbai - 400018

<b>Schedule-A Tariff Structure</b>		
<b>For individuals/HUF/corporate</b>		
<b>Details</b>		
Stamp charges payable upfront		Rs.500/- (for POA Clients)
<b>Annual Maintenance Charges (charged Annually)</b>		
a.	Individuals/Non Individual (except Corporate)	Rs.300/- + GST (First Year Nil)
b.	Non Individual - Corporate	Rs.1000/- + GST (First Year Nil)
<b>Transaction Charges : (Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	Rs.5/- + Rs 5.50/- (CDSL Charges)
<b>Transaction Charges : (Off-Market Trades)</b>		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	0.02% or Rs.25/- whichever is higher
<b>Demat (Per certificate)</b>		Rs. 100/- per certificate
<b>Remat (Per certificate)</b>		Rs. 100/- per certificate + CDSL Charges
Courier charges per Demat/Remat/Demat Rejn.		Rs. 75/- (within india), at actual outside India.
Pledge Request		Rs. 15/- + Rs. 12 per request (CDSL Charges)
Unpledge Request		Rs. 15/- + Rs. 12 per request (CDSL Charges)
Pledge invocation		Rs. 15/-
<b>Periodic Statement</b>		
a.	By Email	Free
b.	Physical	Rs. 25/- (+Courier charges at actual)
<b>Adhoc / Non Periodic Statement Requests</b>		
a.	By Email	Rs.10/- per request
b.	Physical	Rs. 50 per request upto 10 pages. Every additional page at Rs. 5 (+Courier charges at actual)
<b>Delivery instruction</b>		
a.	First Delivery Instruction Book	Free (10 Leaves)
b.	Every Addl Booklet (10 Leaves)	Rs.100/-
Cheque Bounce Charges		Rs. 350/-
Failed Transactions		Rs. 50 per ISIN
Modification in CML		Rs. 25/- per request
KRA Upload / Download		NIL

NOTES : For all purposes the bill date shall be construed as the date demand and the bills will be considered as the bill cum notice for payment and Ohm Stock Broker Private Limited reserves the right to freeze depository account for debit transaction in case of non payment of charges after fifteen days from the bill date. Interest at 18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change and revision from time to time. Changes if any will be intimated 30 days in advance Annual Maintenance Charge (AMC) is non refundable. GST is applicable on all above charges except stamp charges.

Ohm Stock Broker Private Limited is authorized by me/ us to debit all such demat charges to my trading account.

<i>(First Holder Signature)</i>	<i>(Second Holder Signature)</i>	<i>(Third Holder Signature)</i>
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Date:

To,

**Ohm Stock Broker Private Limited**

301-A, Poonam Chambers, "B" wing, 3<sup>rd</sup> floor

ShivSagar Estate, Dr. A.B. Road

Worli, Mumbai – 400 018.

Dear Sir,

Sub : Requesting for bill/transaction/holding statement through email.

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. 12089800

\_\_\_\_\_ at following email address: \_\_\_\_\_

I/We fully agree and are aware of following Terms and Conditions mentioned below.

- (a) that I/We will not receive the bill, transaction and holding statements in paper form.
- (b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- (c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality /secrecy of the login name and password is compromised.
- (d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the Ohm Stock Broker Private Limited about change in email address, if any.

In case, the Ohm Stock Broker Private Limited is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Ohm Stock Broker Private Limited will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements: Monthly

Yours faithfully,

Signature First Holder

Signature Second

Signature Third

Declaration

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of 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.

Signature First Holder

Signature Second

Signature Third

**DP : OHM STOCK BROKER PRIVATE LIMITED**

301-A, POONAM CHAMBERS,B-WING, 3RD FLOOR,DR. A.B. ROAD, WORLI, MUMBAI,MAH-400018

Tel : 022 4613 5555 Fax : 022 4613 5598

DP ID : 89800 DP SEBI Reg. No. IN - DP -420-2019

NAME: \_\_\_\_\_

**FATCA / CRS DETAILS**

<b>Place and country of Birth</b>		
Are you assessable to tax in any country other than India (Yes/No)		
If no, we declare that	I/We are Indian citizens, my/our residence for tax purposes in India and I/We am/are not a "US person" as defined in Rule 114F of the Income Tax Rule, 1962	
If yes – Citizen of Which Country		
If yes, then kindly provide the <b>Tax Payer Identification Number (TIN)</b> or functional equivalent as issued in the specific country (in case of multiple countries, kindly give names for all the countries and TIN no)	<b>Country</b>	<b>TIN NO.</b>

I/We understand that you are relying on this information inter alia for the purpose of determining my/our status in compliance with FATCA/CRS. You are not able to offer any tax advice on CRS or FATCA or its impact on me/us. I/We shall seek advice from professional tax advisor for any tax questions. I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect. I/We agree that as may be required by domestic regulators / tax authorities, you may also be required to report, reportable details to CDBT or close or suspend my account.

I/We certify that I/We provide the information on this form and to the best of my knowledge and belief the certification is true, correct and complete. Kindly update the above data on the CDSL systems, the KRA systems and your back office systems and other places as desired by you.

Signature of First Holder	Signature of Seocnd Holder	Signature of Third Holder

Place :

Date :

**DP : OHM STOCK BROKER PRIVATE LIMITED**

**301-A, POONAM CHAMBERS,B-WING, 3RD FLOOR,DR. A.B. ROAD, WORLI, MUMBAI,MAH-400018**

**Tel : 022 4613 5555 Fax : 022 4613 5598**

**DP ID : 89800 DP SEBI Reg. No. IN - DP -420-2019**

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

To,

**Ohm Stock Broker Pvt. Ltd.**

301/A, Poonam Chambers, B-Wing

Shivsagar Estate, Dr. A. B. Road

Worli, Mumbai - 400 018.

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 **WISH** to avail the BSDA facility for my/our below mentioned demat account number.

I / We **DO NOT WISH** to Opt for BSDA facility for which we have submitted my/our account opening Form OR for my / our below mentioned demat account number.

DP ID	1	2	0	8	9	8	0	0	Client ID										
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	Name	PAN																	
Sole / First Holder																			
Second Holder																			
Third Holder																			

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

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

	Signature
Sole / First Holder	
Second Holder	
Third Holder	

**DP : OHM STOCK BROKER PRIVATE LIMITED**

**301-A, POONAM CHAMBERS,B-WING, 3RD FLOOR,DR. A.B. ROAD, WORLI, MUMBAI,MAH-400018**

**Tel : 022 4613 5555 Fax : 022 4613 5598**

**DP ID : 89800 DP SEBI Reg. No. IN - DP -420-2019**

**Declaration Form for opting out of nomination**

To	Date	D	D	M	M	Y	Y	Y	Y
Trading Member/Participant's Name Trading Member/Participant's Address									
UCC									
DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
<b>Name and Signature of Holder(s)*</b>									
1. _____ 2. _____ 3. _____									

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



**DP : OHM STOCK BROKER PRIVATE LIMITED**

**301-A, POONAM CHAMBERS,B-WING, 3RD FLOOR,DR. A.B. ROAD, WORLI, MUMBAI,MAH-400018**

**Tel : 022 4613 5555 Fax : 022 4613 5598**

**DP ID : 89800 DP SEBI Reg. No. IN - DP -420-2019**

**e-MAIL & MOBILE NUMBER UPDATION FORM**

To,  
Ohm Stock Broker Pvt. Ltd.  
301-A, Poonam Chambers,  
B Wing, 3rd Floor,  
Dr. A.B.Road, Worli  
Mumbai 400018.

Sub: Application for updating Mobile No. / Email Id

Dear Sir,

I / We would request you to update following contact details to my Demat Account.

Email Id: \_\_\_\_\_

Mobile No.: \_\_\_\_\_

I / We declare that these contact details belong to Self / Family  
\_\_\_\_\_ who belongs to our family and my relation with  
him / her is as follows.

(Family means Spouse, Son, Daughter and Parents)

Relationship with BO: \_\_\_\_\_

Further, I / We request you to send all the transaction related mail/SMS of the above demat account to the above mentioned details. I / We don't have any objection for the same as it belong to my family member. BOI Shareholding Ltd. shall not be responsible for the above updation of Email and Mobile Number by me/us.

Kindly do the needful & oblige.

Thanking You,

Yours faithfully

(Client Sign)

## **REQUIRED DOCUMENTS DETAILS OF CDSL DEMAT A/C**

### **(INDIVIDUAL Documents check list)**

- \* A passport size 2 photograph 1<sup>st</sup> 2<sup>nd</sup>&3<sup>RD</sup> holder
- \* Photocopy of Pan Card 1<sup>st</sup> 2<sup>nd</sup>&3<sup>RD</sup> holder
- \* Proof of Bank A/c – Original Cancelled Cheque & Passbook copy  
(Latest 3 Month bank Statements)  
Address Proof – Photocopy of any one 1<sup>st</sup> 2<sup>nd</sup>&3<sup>RD</sup> holder  
Aadhaar card Copy (along with date on left side)
- \* Photocopy of Nominee Pan Card, Aadhaar Card Copy
- \* ANNUAL INCOME (ITR COPY)
- \* MOBILE NUMBER (PLEASE CLARIFY SELF NUMBER OR FAMILY)
- \* EMAIL ID