



बैंक ऑफ़ बड़ौदा Bank of Baroda

Central Back Office DP Operations, Baroda Sun Tower, Ground Floor, BKC, Bandra East, Mumbai-400051

APPLICATION FORM FOR OPENING A DEMAT ACCOUNT

(For Entities Other than Individuals)

CDSL

(To be filled by the Depository Participant)

Application No.	DP Internal Reference No.	Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	3	0	1	8	7	0	0	Client ID	

(To be filled by the Depository Participant)

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

Name										
Search Name										
Correspondence Address										
City					State					
Country					PIN					
Telephone No.					Fax No.					
PAN										
E-mail ID										
Registered Office address (If different from Correspondence Address)										
City										
Country					State					
Telephone No.					PIN					
E-mail ID					Fax No.					

Other Holders - Second Holder Details

First Name										
Middle Name										
Last Name										
Father / Husband Name										
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other							Suffix		
Permanent Address										
City					State					
Country					PIN					
PAN										
Date of Birth	D	D	M	M	Y	Y	Y	Y		
E-mail ID										
Telephone No.	Fax No.							Mobile No.		

**Other Holders - Third Holder Details**

First Name												
Middle Name												
Last Name												
Father / Husband Name												
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other								Suffix			
Permanent Address												
City						State						
Country						PIN						
PAN												
Date of Birth	D	D	M	M	Y	Y	Y	Y				
E-mail ID												
Telephone No.	Fax No.							Mobile No.				

<b>Type of Account</b> (Please tick whichever is applicable)														
<b>Status</b>								<b>Sub - Status</b>						
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify)								<b>To be filled by the DP</b>						
Date of Incorporation	D	D	M	M	Y	Y	Y	Y						
SEBI Registraion No. (If Applicable)						SEBI Registration date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (If Applicable)						ROC 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	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)													
I/We authorise you to receive credits in my / our account without any instruction from me/us.								(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No						
Account Statement Requirement	<input type="checkbox"/> Daily			<input type="checkbox"/> Weely			<input type="checkbox"/> Fortnightly			<input type="checkbox"/> Monthly				
Do you wish to receive dividend / Interest directly in to your bank account given below through ECS ?								<input type="checkbox"/> Yes <input type="checkbox"/> No						

**Bank Details (Dividend Bank Details)**

Bank Code (9 digit MICR code)												
Bank Name												
Branch												
Bank Address												
City				State				Country		PIN		
Account number												
Account Type	<input type="checkbox"/> Saving			<input type="checkbox"/> Current			<input type="checkbox"/> Cash Credit			<input type="checkbox"/> Others (Specify)		

- (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 and not more than 4 months old, (or)  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 iv) Letter from the Bank.

⇒ In case of option (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be **self-certified by the BO.**

**For OCBs**

Foreign Address													
City					State								
Country					PIN								
Telephone No.					Fax No.								
E-mail ID													
Indian Address													
City					State								
Country					PIN								
Telephone No.					Fax No.								
E-mail ID													
Currency													
RBI Reference No.					RBI Approval Date	D	D	M	M	Y	Y	Y	Y

**Clearing Members Details (To be filled by CMs only)**

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

Name *											
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\* 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.

**Additional Details :**

<b>SMS Alert Facility</b>	<input type="checkbox"/> Yes	MOBILE NO. +91 _____ Refer to Terms & Conditions given as <b>Annexure - A</b>	<input type="checkbox"/> No
<b>easi</b>	<input type="checkbox"/> Yes If yes, please register yourself for "easi" facility on CDSL's website <a href="http://www.cdslindia.com">www.cdslindia.com</a> and submit your registration form to branch DP duly signed by account holder/s or contact your branch DP for details. (Facility through CDSL's website : <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.		<input type="checkbox"/> No

**Details For Joint - Second Holder**

Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify)
Sex	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Occupation	Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____	
Nature of business : (Products / services provided)		

**Details For Joint - Third Holder**

Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify)
Sex	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Occupation	Service { <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body } <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) _____	
Nature of business : (Products / services provided)		

I/We have read the DP-BO agreement (DP-CM agreement for BSE Clearing Member Accounts) 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/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			
Passport size Photograph	(Please sign across the Photograph)	(Please sign across the Photograph)	(Please sign across the Photograph)

In - Person verification by Branches DP of Bank of Baroda

Signature/s verified. Identity of the applicant/s verified and signature/s obtained in my presence.	
Name / Designation / Signature Under Stamp of Bank of Baroda with Signature No. / EC No.  Place : _____ Date : _____	

(Perforated card)

DP ID	Client ID											
First Authorised Signatory				Second Authorised Signatory				Third Authorised Signatory				
Name												
Specimen Signature												

**Instructions for 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 under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address and Tel Number(s), etc., of the Magistrate / Notary Public/Special Executive Magistrate 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 application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized 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 is not applicable.



बैंक ऑफ बड़ौदा Bank of Baroda

Central Back Operations,

Baroda Sun Tower, Ground Floor, Bandra Kurla Complex, Bandra (East), Mumbai -400051

DEMAT SERVICE CHARGES (REF HO:BR:102:208 DT 16.12.2010)

- a) Account Opening Form (Non-Individual)
- b) Agreement (Rs. 100/- Non - Judicial Stamped paper of franking)
- c) PAN Card of the company/Trust (must be verified from Income Tax web site).
- d) PAN Card of all Signatories (must be verified from Income Tax web site).
- e) Address Proof of the Company or holders.
- f) Leaf of copy of MICR cheque.
- g) Paste latest passport size photograph on A/c opening form and sign across the photograph.
- h) Address proof of all the Signatories.

Note: Branch DP must verify the copy of documents with the original under stamp & signature of DP official.

LIST OF ADDITIONAL DOCUMENTS REQUIRED TO OPEN A DEMAT ACCOUNT

1) CORPORATE : All mandatory documents as above

- \_ Memorandum and Articles of Association.
  - \_ Certified True Copy of the **Board Resolution**, duly certified by Managing Director / Company Secretary, authorizing opening of a Demat Account and specifying name of persons authorized to open and operate the Demat account.
- It should specify the manner of operation of the account by the authorized persons.

**Name of authorized signatories, their designation, photographs and their specimen signatures duly verified by the Managing Director or the Company Secretary and duly authenticated by Branch Manager**

2) REGISTERED SOCIETY : All mandatory documents as above

- \_ Copy of Certificate of Registration under the Societies Registration Act, 1860.
- \_ List of Managing Committee members.
- \_ Certified true copy of Resolution of the Managing Committee for persons authorized to open and operate the account and specifying the manner of operation of the account.
- \_ Names of the Authorized signatories, designation, photograph (with signatures across the face of the photograph) and their specimen signatures duly authenticated by the Chairman/Secretary & Branch manager.
- \_ Copy of Society's Rules and Bye Laws duly certified by the Chairman / Secretary.

3) UNREGISTERED SOCIETY : All mandatory documents as above

- \_ The account should be opened in the names of the members under "Individual" category (maximum three Persons.)
- \_ All the documents as applicable for account opening under individual category should be obtained.
- \_ The proof of address / identity documents of the individual members should be obtained for A/c opening.

4) REGISTERED TRUST : All mandatory documents as above

- \_ Account to be opened in the name of the Trust.
- \_ Trust Deed and Rules.
- \_ List of Members on the Board of Trustees.
- \_ Certificate of Registration of Trust under the Public Trust Act or Societies Registration Act.
- \_ Certified true copy of Board Resolution to open the Demat account and specifying the persons authorized by the Board to act as Authorized Signatory (ies) to operate the Demat account.
- \_ Names of the Authorized Signatories, Designation, photograph (with their signatures across the face of the photograph) and their specimen signatures duly verified by the Managing Trustee and Branch Manager.
- \_ Pan card and Address Proof of the authorized **Signatories**.

5) UNREGISTERED TRUST : All mandatory documents as above

- \_ A/c. should be opened in the names of individual trustees (maximum three) under "Individual" category.
- \_ The board of trustees shall specify the names of the trustees who shall hold / operate the Demat account.
- \_ The proof of address and proof of identity documents of the trustees should be obtained for A/c opening.

(FORMAT - BOARD RESOLUTION ON COMPANY'S LETTERHEAD)

CERTIFIED TRUE COPY OF THE BOARD RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS  
OF \_\_\_\_\_ M/S

HELD ON \_\_\_\_\_ DAY OF \_\_\_\_\_ AT THE \_\_\_\_\_ OFFICE OF THE COMPANY.

"RESOLVED that a Depository Account in the name of

M/s \_\_\_\_\_ be opened with Bank of Baroda, Depository Participants, Central Back Office DP Operations, UTI Tower, 2nd Floor, GN Block, Bandra Kurla Complex, Mumbai - 400 051 and the said bank be and is hereby authorized to honour instruction for Demat Sale, Purchase, Pledge, hypothecation of Shares / Securities / Debt instruments made on behalf of the Company by \_\_\_\_\_ OF THE DIRECTORS namely \_\_\_\_\_ and to act on any instruction so given relating to the account/transaction of the Company."

"**FURTHER RESOLVED** that the above resolution be communicated to the said Bankers and remain in force until the same is cancelled or modified by the Board of Directors by another resolution and extract whereof forwarded to the bankers of the Company, in writing."

**THAT** the bank be furnished with a list of the names of the Directors of the Company and a copy of the Memorandum and Articles of Association and be from time to time informed by notice in writing of any change, which may take therein and which will entitle the Bank to act upon any such notice until the receipt of further notice.

For M/s \_\_\_\_\_

(SIGNATURE OF THE CHAIRMAN OF THE COMPANY)

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

**General Clause**

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

**Beneficial Owner information**

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

**Fees/Charges/Tariff**

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

**Dematerialization**

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

### **Separate Accounts**

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

### **Transfer of Securities**

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

### **Statement of account**

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

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no



charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

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

#### **Default in payment of charges**

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

#### **Liability of the Depository**

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

#### **Freezing/ Defreezing of accounts**

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

#### **Redressal of Investor grievance**

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

**Authorized representative**

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

**Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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