





**FE SECURITIES PVT. LTD.**

(Depository Participant CDSL) DP ID – 12046900, CIN U74999DL1995PTC069239  
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DP ID	1	2	0	4	6	9	0	0	Client ID								
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## Specimen Signatures

		First /Sole Holder	Second Holder	Third Holder
*Please Stamp & Sign in case of HUF account.	<b>Name</b>			
	<b>Specimen Signature</b> (Please sign in black ink)			
	<b>Please Affix Recent Passport Size Photograph Only</b>	Please Sign Across Photograph	Please Sign Across Photograph	Please Sign Across Photograph

## ***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.

RECEIVED BY B.O., (Name):

Signature: \_\_\_\_\_

Date:

**Fax indemnity**

On Rs. 100/- Stamp paper

**Undertaking cum Indemnity – In respect of facsimile instruction for operation of Depository Account**

To

The Depository Participant : F E Securities Pvt. Ltd re: BO ID: 12046900 -

Sr no.	Name of Holders &	Address:
1.	First ( Sole) :	
2.	Second :	
3.	Third :	

I/we 1) \_\_\_\_\_ 2) \_\_\_\_\_  
 3) \_\_\_\_\_) execute this UNDERTAKING CUM INDEMNITY in favour of F E SECURITIES PRIVATE LIMITED ( a company incorporated and registered under the Companies Act, 1956) and having its Registered Office at 814, Arunachal, 19, Barakhamba Road, New Delhi – 110001 hereinafter called “the DP” ( which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows:

WHEREAS I/We maintain a Beneficial Owner Account (“the said Account”) mentioned above, with the DP at its Office, located at 802, Arunachal Building, 19, Barakhamba Road, New Delhi – 110001. As per the instructions for operation of the said Account, the same is allowed to be operated by us or the persons authorized, in that behalf (hereinafter referred to as “Authorised Person/s”).

AND WHEREAS in the day-to-day business, I am / we are required to give urgent instructions to the DP for operation of the said Account:

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

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

1. I/We shall transmit the Fax instructions only to the fax number informed/provided to us by the DP.
2. The Fax Submission shall be signed by the Authorised Person/s mentioned in the List of Authorised signatories submitted by me/us in the account opening form on behalf of me/us and their signatures shall be in the same manner and way as has been informed to the DP by me/us and the DP is hereby requested and authorised, (but is not obliged) to rely upon and act, in accordance with such Fax Submission which is signed or bonafide believed by the DP to have been signed, by the Authorised Person/s.
3. The DP is requested by me/us and shall be entitled to treat any Fax Submission as fully and duly authorised by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax Submission, in good faith as appropriate, regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax Submission.
4. I/We shall upon making any telefax submission hereunder, deliver to the DP without any delay within two working days, the original hard copy of the Fax submission (the Hardcopy) signed by the Authorised Person/s as aforesaid. Each Hardcopy shall bear the following words on the top of the instruction slip - “This is a Hardcopy of Fax Submission to you, transmitted on day of month, year.
5. The DP may, but shall not be obliged to, await receipt of the Hard copy prior to taking any action in connection with the Fax Submission and shall not be obliged to follow-up with me/us for the originals. Further the storage of a photocopy of the fax transmission sent by me/us shall be the conclusive evidence of instruction to the DP for having acted on such instructions and I/We hereby agree and acknowledge the same”.
6. I /We hereby agree that in case the DP does not receive the hard copy of the instruction within 2 working days, the DP may discontinue the said facility. In such cases the DP will do so with immediate effect after informing me orally / in writing / by fax. I / We undertake that I / we shall not hold the DP liable for any loss to me / us in case the DP does not act on fax instruction received by the DP in such a case.
7. The DP shall not be required to confirm (whether orally, in writing or otherwise) any fax submission or verify the identity of the Authorised Person/s or his/her/their signature/s making or giving the fax submission or purporting to do so.
8. The DP shall be under no duty to set and/or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, the DP shall not be obliged to strictly adopt or comply with the same in any or every instance.
9. The DP shall not be liable for any losses or damages which I/we may suffer as a consequence of the DP acting in accordance with or in reliance upon, any Fax Submission or otherwise pursuant to the authority conferred herein, upon the DP.

\_\_\_\_\_  
1<sup>ST</sup> HOLDER\_\_\_\_\_  
2<sup>ND</sup> HOLDER\_\_\_\_\_  
3<sup>RD</sup> HOLDER

-Cont. P2-

10. I/We shall indemnify the DP and CDSL and keep them indemnified and save harmless, at all times against any and all claims, losses, damages, costs, liabilities and expenses incurred, suffered or paid or incurred by the DP or required to be incurred, suffered or paid by the DP and also against all demands, actions, suit proceedings made, filed / instituted against the DP, in connection with or arising out of or in relation to or as a consequence of:
  - i. The DP acting pursuant to, in accordance with or relying upon, any Fax Submission or otherwise pursuant to the request and authority conferred herein; and/or;
  - ii. The DP acting pursuant to in accordance with or relying upon any Fax Submission received by the DP which it believes in good faith to be such a Fax Submission; and / or;
  - iii. Any unauthorized or fraudulent Fax Submission to the DP. PROVIDED that this indemnity shall not be available to the DP, if the liabilities for which the DP seeks indemnification hereunder, arise directly and completely from its own negligence or willful default.
  - iv. The DP not having acted on the fax submission due to non-receipt of the transmission or receipt of incomplete or partly / fully unreadable transmission.
  - v. The DP not having acted on any fax submission sent by me / us on a number other than the number mentioned by the DP for the purpose of fax transmission.
11. The DP shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I/we shall not hold the DP liable for any loss consequent to non-availability of the said fax facility.
12. I/We acknowledge and confirm that I am/we are aware that by the very nature of telecommunication services, the Fax transmissions may not be received properly and may not be clearly legible. I / We agree to assume and bear all the risks involved in respect of such errors and misunderstandings and the DP shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising there from.
13. This indemnity is without prejudice to the DP's other rights, privileges, powers and remedies in law and the DP may delay enforcing its rights without at any time losing them and any waiver of a right by the DP hereunder or available to it by law, shall not be deemed to be a waiver of any other rights or of the same right at another time.
14. The DP may stop/terminate this facility given to me / us by giving seven days prior written notice to me/us. However, any such termination shall not affect anything done or any rights or liabilities accrued or incurred prior to the termination and all the above indemnities given by me/us to the DP hereunder shall survive any such termination. However, in case of termination as mentioned in point 6 above, no such notice need to be given by the DP.  
 The Provisions relating to arbitration contained in the "Rights and Obligation of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories" shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the Fax Transmission by the DP.

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

Dated at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

Given by:

\_\_\_\_\_  
 1<sup>ST</sup> HOLDER  
 NAME:  
 B.O. ID: 12046900 - \_\_\_\_\_  
 WITNESSED

\_\_\_\_\_  
 2<sup>ND</sup> HOLDER  
 NAME:

\_\_\_\_\_  
 3<sup>RD</sup> HOLDER  
 NAME:

\_\_\_\_\_  
 1. Signature

\_\_\_\_\_  
 2. Signature

\_\_\_\_\_  
 3. Signature

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

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

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

**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 and for all credits as well.]

**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.



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

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

**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 warrant 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).

DP ID	1	2	0	4	6	9	0	0	BO ID								
(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 

+	9	1															
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(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: \_\_\_\_\_

**Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL****1. Definitions:**

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

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

## Nomination Form

**FE SECURITIES PRIVATE LIMITED**  
**814, ARUNACHAL BUILDING,**  
**19, BARAKHAMBA ROAD**  
**NEW DELHI - 110001**

Nominee  
 Photograph

Dear Sirs

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.**  
 [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].

I/We **nominate** the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

**BO Account Details**

DP ID	1	2	0	4	6	9	0	0	Client ID								
Name of Sole / First Holder																	
Name of Second Holder																	
Name of Third Holder																	

**Nominee details**

<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>
<b>Nominee Name:</b>			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name:	.....	.....	.....
*Address:			
*City			
*State:			
*Pin:			
*Country			
Telephone No.:			
Fax No.:			
PAN No.:			
UID:			
Email ID:			
*Relationship with the BO:			
Date of birth ( <b>mandatory if Nominee is a minor</b> ):			
Name of the Guardian of Nominee (if the nominee is 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:			
<b>Nomination Details</b>	<b>Nominee 1</b>	<b>Nominee 2</b>	<b>Nominee 3</b>

<b>*Percentage of allocation of securities:</b>			
<b>*Residual Securities</b> [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: incase 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**

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

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

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

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note: One witness shall attest signatures(s)/ Thumb impression(s).

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

**(To be filled by DP)**

Nomination Form accepted and registered wide Registration No. \_\_\_\_\_ dated \_\_\_\_\_.

For Depository Participant

(Authorised Signatory)

F E Securities Pvt. Ltd.  
CDSL DP ID - 46900  
802, Arunachal Building  
19, Barakhamba Road,  
New Delhi 110001

Date:

Dear Sir

Re: Basic Services Demat Account (BSDA)

With reference to my application to open a Beneficiary Account for depository services :

I wish to opt for a Basic Services Demat Account (BSDA), or

I do not wish to opt for a Basic Services Demat Account (BSDA).  
(Please strike out the option not selected)

OR

With reference to option offered, I wish to convert my existing demat BO ID 12046900 0000 into a BSDA.

I confirm that I have read the eligibility rules and declare that I am eligible under the Rules stated in SEBI Circular CIR/MRD/DP/22/2012 dated 27.08.2012 as modified up to date.

I further solemnly declare that I do not have any other demat account where I am the Sole or First Holder with any depository participant across all depositories.

It is further understood that the value of securities in my BSDA cannot exceed Rs. Two lakhs at any point of time (or such value as may be notified from time to time). In case of a breach of this condition, you are at liberty to levy charges as applicable to regular accounts (non BSDA) from that date onwards.

It is also understood that this is a Basic Services Demat Account and you will provide only those services (whether free of cost or chargeable) as are specified by the Relevant Authority from time to time.

Thanking you,  
Yours faithfully,

Name:

Address:

**OPTION FORM FOR ISSUE OF D.I.S. BOOKLET**

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

<b>DP ID</b>	1	2	0	4	6	9	0	0	<b>Client ID</b>							
First Holder Name																
Second Holder Name																
Third Holder Name																

**F E Securities Pvt. Ltd.,  
(CDSL DP ID-46900)  
814, Arunachal Building,  
19, Barakhamba Road  
New Delhi – 110001**

Dear Sirs

[Select one of the options given below]

I / We hereby state that:

○ **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 F E Securities Pvt. Ltd., (Clearing member) for executing delivery instructions for settling 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:**

<b>DP ID</b>	1	2	0	4	6	9	0	0	<b>Client ID</b>							
Sole/ First Holder Name																
Second Holder Name																
Third Holder Name																

**Depository Participant Seal and Signature**

**FE SECURITIES PRIVATE LIMITED**  
**CIN U74999DL1995PTC069239**  
**DP ID IN 12046900- CDS(I)L**  
**TARIFF SCHEDULE**

Sr. No.	Particulars	Investor Scheme	Trader Scheme /Corporates
1	Account Opening Charges	Nil	Nil
2 (a)	Maintenance Charges – CDSL Charge	--	Rs. 500/-
(b)	Maintenance Charges (Non BSDA) Annual Charges	Rs. 250/-	Rs. 250/-
3	2 <sup>ND</sup> & Subsequent Booklet	Rs. 50/-	Rs. 50/-
4	Stamp Duty	(Note 1)	(Note 1)
5	Purchase Transaction (Market / Off Market)	Nil	Nil
6	Sale Transaction (Market / Off Market)	Rs. 25/- per ISIN	Rs. 25/- per ISIN
7	Custody Charges	Nil	Nil
8	Dematerialisation	Rs. 3/- per certificate	Rs. 3/- per certificate
9	Postage per Demat Request	Rs. 25/- (as per courier charges)	Rs. 25/- (as per courier charges)
10	Rematerialisation a) First 10 certificates b) Above 10 certificates (per certificate)	Rs. 40/- Rs. 10/-	Rs. 40/- Rs. 10/-
11	Postage per Remat Request	Rs. 25/- (as per courier charges)	Rs. 25/- (as per courier charges)
12	Pledge a) Creation/ Confirmation of Creation b) Closure/Confirmation of Closure	0.01% (min. Rs. 40/-) 0.01% (min. Rs. 40/-)	0.01% (min. Rs. 40/-) 0.01% (min. Rs. 40/-)
13	Invocation of Pledge	0.01% (min. Rs. 40/-)	0.01% (min. Rs. 40/-)
14	Late Transaction Charges (per txn.)	Rs. 10/-	Rs. 10/-

**Notes:**

- Stamp duty payable as per State Stamp Act, as applicable for the specific document.
- All the percentages in the above tariff would be applied on the value of the transaction as computed by CDSL.
- Maintenance Charges are levied at the beginning of the year.
- Late charges would be collected for all instructions received after 4 p.m for same day execution.
- For accounts under the Trader Scheme / Corporates, transaction cum billing statement may be sent fortnightly.
- For accounts under the Investor Scheme, transaction cum billing statement will be sent once a month, provided there is a transaction, else, once in a quarter. Statements for BSDA accounts, as prescribed.
- Any extra statement would be charged @Rs. 15/- per statement for first 10 pages, thereafter @ Rs.2/- per page.
- The rates depend on the existing CDSL charges and may be revised on revision by CDSL. The charges are also subject to revision by FESPL.
- Please note that in case we are unable to recover charges due to non maintenance of adequate balances in the bank account / imprest /invalid bank account, depository services for your account will be temporarily discontinued.
- Any request to resume the services will be charged Rs.250 and the services will be resumed on receipt of request by FESPL
- All taxes/ levies/ cess, and any other government taxes, as applicable will be extra.
- This Tariff Schedule is applicable w.e.f. (a) Existing B.O.'s – 01.03.2009, (b) New B.O.'s – 01.02.2009
- No charges are payable for opening of demat account (See Tariff schedule Sr. No 1 above)

Signature

Name:-

DP ID: 12046900 –

Signature

Name:-

Signature

Name:-

Regd. Office : 814, Arunachal, 19 Barakhamba Road, New Delhi –110001

Ph . : 23350670, 23350672 Fax : 011- 23357030

Email: [fes@fesecurities.in](mailto:fes@fesecurities.in), Investor Grievance E-Mail: [cdslcomplaint@fesecurities.in](mailto:cdslcomplaint@fesecurities.in)

And whereas due to exigency and paucity of time, I /we am /are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/ our behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW ALL THAT THESE PRESENTS WITNESSTH THAT I /We THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT FE Securities Private Ltd. (Stock Broker) as my / our true and lawful attorney (hereinafter referred to as the attorney) for me /us and on my/ our behalf and in my/ our name to instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from my/ our aforesaid account for the purpose of delivering the same to the clearing house of the recognized stock exchanges towards any segment in respect of securities sold by me/ us through FE Securities Pvt. Ltd. The Stock Broker confirms that they will return any securities received erroneously or that they were not entitled to receive to me/us.

This authority is restricted to the pay-in obligations arising out of the transactions of sale effected by me /us through M/s FE Securities Private Limited and I /we ratify the instructions given by the aforesaid, FE Securities Pvt. Ltd. (Member NSE & BSE) to the Depository Participant named hereinabove in the manner specified herein and to the payin accounts of FE Securities Pvt. Ltd. as stated below:

**PAYIN ACCOUNT PARTICULARS:**

Interoperability among clearing corporations has been implemented for capital market segments from 15.07.2019, Consequently the settlement of securities will be through NSE Clearing Ltd. (the selected clearing house) for transactions at NSE and BSE, capital market segments.

1. <u>CDSL</u>	<u>NSE</u> (CM ID M-50463)	2. <u>NSDL</u>	
Early Payin	11000011 00016263	CM BP ID	IN559780
Normal Payin	12046900 00000440	DP ID	IN301330-17994253

I /We agree that M/s. FE Securities Pvt. Ltd. can change the Payin Accounts and such changed Accounts will stand substituted for abovesaid. M/s. FE Securities Pvt. Ltd agrees that they will advise the changed particulars.

I /We authorize the Stock Broker/ Depository Participant to send consolidated summary of the scrip wise buy and sell position taken with average rates by SMS/ email on a daily basis per details registered with the Stock Broker/ Depository Participant.

I /We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until I / we have given to the Depository Participant notice in writing to the contrary.

SIGNED AND DELIVERED

We ACCEPT

BY THE WITHIN NAMED BENEFICIAL OWNER

FOR FE SECURITIES PVT. LTD.

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

DIRECTOR

2. \_\_\_\_\_  
Name:

814 ARUNACHAL  
19, BARAKHAMBHA ROAD  
NEW DELHI -110001

3. \_\_\_\_\_  
Name:

B.O. ID : 12046900 –  
IN THE PRESENCE OF

Sign : \_\_\_\_\_

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

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

P.O.A. REGN. NO \_\_\_\_\_



M/s. FE Securities Pvt. Ltd.  
Member: NSE & BSE  
D.P.: CDS (I) L  
814, Arunachal Building  
19, Barakhamba Road  
New Delhi- 110001

Dear Sir,

Re: Compliance of Foreign Exchange Management  
Act. 1998 and other applicable laws

I \_\_\_\_\_ R/o. \_\_\_\_\_, do confirm that I have complied with the FEMA Regulations in respect of the securities transactions through the stock exchanges and depositories and undertake to continue to comply with the FEMA regulations and other applicable laws.

Your faithfully

Name: -

Address: -

M/s. FE Securities Pvt. Ltd.  
Member: NSE & BSE  
D.P.: CDS (I) L  
814, Arunachal Building  
19, Barakhamba Road  
New Delhi - 110001

Dear Sir,

Re: Change of address

I \_\_\_\_\_ R/o. \_\_\_\_\_, do  
undertake to inform you of any change in my residential address immediately

Your faithfully

Name: -

Address: -