

Zerodha Securities Pvt. Ltd.

153/154, 4th Cross, 4th Phase, JP Nagar, Dollars Colony,
Opp. Clarence School, Bangalore - 560078

Additional KYC Form for Opening a Demat Account

For Individuals

(To be filled by the Depository Participant)

Application No		Date		DP Internal Reference No	
DP ID	12081600			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:-

Holder Details

Sole / First Holder's Name			
PAN		UID	
Second Holder's Name			
PAN		UID	
Third Holder's Name			
PAN		UID	

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

Type of Account (Please tick whichever is applicable)

Status	Sub – Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)	

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

Guardian's Name		PAN	
Relationship with the applicant			

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] ☐ Yes ☐ No
(If not marked, the default option would be 'Yes')

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') ☐ Yes ☐ No

Account Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Monthly ☐ Fortnightly

I / We request you to send electronic transaction-cum-holding statement at the following ☐ Yes ☐ No

Email ID	
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I / We would like to share the email ID with the RTA ☐ Yes ☐ No

I / We would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical and Electronic
(Tick the applicable box. If not marked the default option would be in Physical)

I/We would wish to avail the following facility:

Basic Service Demat Account facility (BSDA)

☐ Yes ☐ No

Rajiv Gandhi Equity Savings Scheme (RGESS)

☐ Yes ☐ No

I/We wish to receive dividend/interest directly in to my bank account as given below through ECS. ☐ Yes ☐ No
(If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]

Bank Details [Dividend Bank Details]

Account type Saving ☐ Current ☐ Others (specify) ☐

Bank Code (9 digit MICR code)				IFS Code (11 character)			
Account number							
Bank Name							
Branch Name							
Bank Branch Address							
City				State			
Country						PIN code	

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

(ii) Photocopy of the bank statement having name and address of the BO

(iii) Photocopy of the passbook having name and address of the BO, (or) (iv) Letter from the Bank.

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

Other Details

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh ☐ 1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ >25 Lacs ☐

Or Net-worth as on _____ date _____ (Net worth should not be older than 1 year)

Occupation : _____

Please tick, if applicable: Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Any other information: _____

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

Zerodha Securities Pvt. Ltd.

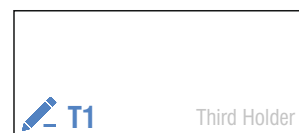
153/154, 4th Cross, 4th Phase, JP Nagar, Dollars Colony,
Opp. Clarence School, Bangalore - 560078

Schedule-A Tariff Structure		
For individuals/HUF/corporates		
Details		POA Clients
		Option-1
Stamp charges payable upfront		Rs.50/-
Annual Maintenance Charges		
a.	Individuals/Non Individual (except Corporate)	Rs.300/- + Service Tax
b.	Non Individual - Corporate	Rs.1000/- + Service Tax
Transaction Charges : (Market Trades)		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	Rs.8/- + Rs 5.50/- (CDSL Charges)
Transaction Charges : (Off-Market Trades)		
a.	Buy(Receive)	Nil
b.	Sell (Debit)	0.03% or Rs.25/- whichever is higher
Demat (Per certificate)		Rs. 10/- (Subject to minimum of Rs.25/- per ISIN)
Remat (Per certificate)		Rs. 15/- (Subject to minimum of Rs. 50/- per ISIN) + CDSL Charges
Courier charges per Demat/Remat/Demat Rejn.		Rs. 50/-
Pledge Request		Rs. 20/- + Rs. 12 per request (CDSL Charges)
Unpledge Request		Rs. 20/- + Rs. 12 per request (CDSL Charges)
Pledge invocation		Rs. 20/-
Periodic Statement		
a.	By Email	Free
b.	Physical	Rs. 50/- (+ Courier charges at actual)
Adhoc / Non Periodic Statement Requests		
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)
Delivery instruction		
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		Rs. 50/-

NOTE :

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 Zerodha Securities Pvt. Ltd. reserves the right to freeze depository account for debit transaction in case of non payment of charges after two 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. Changes if any will be intimated 30 days in advance Annual Maintenance Charge (AMC) is non refundable. Service Tax is applicable on all above charges except stamp charges.



Date :

To,

Zerodha Securities Pvt. Ltd.

153/154, 4th Cross, Dollars Colony, 4th Phase, JP Nagar, Opp. Clarence Public School, Bangalore - 560078.

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. 12081600 _____
_____ 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 Zerodha Securities. about change in email address, if any.


In case, the Zerodha Securities is not able to provide bill/transaction statement to its Clients by email or on website due to any reason (including bounced emails), Zerodha Securities Pvt. Ltd. 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:

Daily ☐ Fortnightly ☐ Weekly ☐ Monthly ☐

Yours faithfully,

 **F12(a)** First/Sole Holder
or Guardian
(in case of Minor)

 **S2(a)** Second Holder


 **T2(a)** Third Holder

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.

 **F12(b)** First/Sole Holder
or Guardian
(in case of Minor)

 **S2(b)** Second Holder

 **T2(b)** Third Holder

Space For Franking


Power Of Attorney (Voluntary)


KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr./Ms./M/s. (First holder) _____
(Second holder) _____
(Third holder) _____ an individual/a sole proprietary concern/a partnership firm/a body corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act 1956/2013, or any relevant Act, having his/her/its residence/registered office/place of business at _____

_____ (hereinafter referred to as "Beneficial Owner") wish to avail/have availed the broking/e-broking facilities and services offered (hereinafter referred to as "Services") by Zerodha (hereinafter referred to as "Zerodha"), a Partnership Firm registered under the Indian Partnership Act of 1932, having its registered office at 153/154, 4th Cross, 4th Phase, JP Nagar, Dollars Colony, Opp. Clarence School, Bangalore - 560078 and is a Member (Trading Member) of the National Stock Exchange of India Limited (NSE) & Bombay Stock Exchange limited (BSE) respectively (hereinafter referred to as "the Exchange").

Whereas in the course of availing the services and for meeting the settlement obligation thereof on the Exchanges, I/We do hereby nominate, constitute and appoint M/s. Zerodha (Member Broker), hereinafter referred to as "Zerodha" acting through their Partners and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with Zerodha Securities Pvt. Ltd. (Depository Participant) DP ID 12081600, Client ID _____ to execute and perform severally the following acts, deeds, matters and things, provided the attorney complies with all applicable conditions of all or any of their services offered by them in their

1. To have and exercise the powers and/or authority, to do and/or execute the acts, deeds, matters and things specified in Mandatory and Voluntary Client Registration Documents between Zerodha and the Beneficial Owner as may be applicable in relation to the transactions executed by the client.
2. To Operate depository account/(s) for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transaction executed with Zerodha Securities Pvt. Ltd. which is registered as a Depository Participant, as a stock broker registered with Securities and Exchange Board of India (SEBI).
3. To Sign instructions on my behalf with respect to debit/credit the depository account/(s) for the credit or benefit of my/our account with Zerodha for the transactions carried by me/us with Zerodha.
4. To issue instructions relating, executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, lending and borrowing instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/any of us jointly, in any electronic form, in any format and at any time either through the portal of Zerodha or through the internet will be validly constituted attorney to intimate the same to the Depository Participant for the purpose of debiting or crediting my account opened with the Depository Participant.
5. To validate on my/our behalf any such instruction so given to the Depository Participant(s), in written/physical or other form as may be required by the concerned Depository Participant.
6. For these purposes and to this extent, Zerodha is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery participant, as required by the concerned depository.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by Zerodha under this Power of Attorney and that I/We further authorise Zerodha to debit my/our account with Zerodha with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by Zerodha. All charges have been mentioned in the Tariff sheet in the application form.
8. To register this power of attorney with the Depository Participant and/or with any other party concerned as is required within the parameters of this Power of Attorney.
9. To sign all applications, apply for, subscribe to or enter into correspondence with respect to any Initial Public Offers/Offer for Sale of securities of the companies/units of mutual funds, asset management company or any other "investment products" offered through the website www.zerodha.com (owned by Zerodha Securities Pvt. Ltd.) or any other means as per the instructions made available to them by me/us as on the website or otherwise.
10. To make payment to any party with respect to the aforesaid products mentioned in Point 9 above on my/our behalf to fulfil the transaction requested by me/us.

 **F13** First/Sole Holder or Guardian (in case of Minor)

 **S3** Second Holder

 **T3** Third Holder

11. To enter into correspondence with any party with respect to any transaction in any investment products.
 12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of "Investment Product".
 13. To receive intimation from the Exchange and any other party regarding the allocation/allotment/rejection/regret of the securities or such other "Investment Product" applications / subscriptions / withdrawal or any other communications.
 14. To authorize Zerodha to invest on behalf of me/us and to hold the mutual fund/asset management company(ies) based on the request given by me/us. I confirm not to hold such mutual fund/asset management company/Zerodha liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company/body corporate(s) issuer/registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated pursuant to the authorization given by me/us to Zerodha in this regard.
 15. To deposit/transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through Zerodha, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the Zerodha-DP.
 16. To do all other acts and things as may be necessary to affect the subscriptions/purchase/redemption or any other transaction in any investment Product for which services are availed from Zerodha.
 17. To debit my Trading account towards trade related fees or charges payable to Zerodha or a third party service provider or to any of the affiliates/subsidiaries of Zerodha by virtue of I/We using/subscribing to any of the facilities/service provided either by Zerodha or through a third party service provider or by any other security or financial instrument on behalf of me/us through Zerodha or any third party. To bind ourselves with respect to any instruction given by first holder or any other holder to Zerodha.
 18. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.
 19. To send the consolidated summary of client wise, scrip wise buy and sell position with average rates by email.
 20. To authorize Zerodha to transfer the securities to any of the demat accounts of Zerodha as mentioned in Annexure B.
 21. We the joint holders of demat account agree, ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this power of attorney in favour of the Director/(s) and/or the Authorised Signatories, who have in token thereof, subscribed their signature thereto.
- That the Power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.
- That, I/We hereby declare that all the actions taken by my/our above mentioned attorney (herein Zerodha) in this regards shall be deemed to be an action done by me/us and if necessary shall be ratified by me /us on the instruction of the said attorney and that such actions will be binding on me/us.
- I/We agree that Zerodha is entitled to credit the proceeds of any instruction. This document shall be subject to the jurisdiction of the courts in Bangalore.
- In witness whereof I/We have executed this revocable Power of Attorney on the day, date and year herein below mentioned.
- In witness whereof I/We have executed this revocable power of Attorney on the day, date and year herein below mentioned.

Annexure B

Particulars	DP ID	Client ID	Particulars	DP ID	Client ID
CDSL BSE Principal A/C	12081600	00013706	CDSL BSE Early Pay-in A/C	11000010	00023629
CDSL NSE Pool A/C	12081600	00000061	NSDL BSE Pool A/C	IN300095	11619878
CDSL Client Margin A/C	12081600	00101805	NSDL NSE Pool A/C	IN300095	11496000
CDSL NSE Early Pay-in A/C	11000011	00019678	NSDL Client Margin A/C	IN300095	11614253

Dated at Bangalore on this _____ day of _____

F14
 First/Sole Holder
 or Guardian
 (in case of Minor)

S4
 Second Holder

T4
 Third Holder

WITNESSES

Witness Name	Witness Name
Address	Address
Signature	Signature

Annexure E

Option form for issue of DIS booklet

Voluntary

Date :

DP ID

Client ID

First Holder Name	
Second Holder Name	
Third Holder Name	

To,
Zerodha Securities Pvt. Ltd.
 153/154, 4th Cross, Dollars Colony, 4th Phase, JP Nagar, Opp. Clarence Public School, Bangalore - 560078.

Dear Sir,
 I/We hereby state that: [select one of the option 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) in favour of Zerodha Securities Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

Option 2:

I/We do not require the Delivery Instruction Slip(DIS)for the time being, Since I/We have issued a POA in favour of Zerodha Securities Pvt. Ltd. for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

I/We hereby select Option 1 ☐ Option 2 ☐

F15

First/Sole Holder
 or Guardian
 (in case of Minor)

S5

Second Holder

T5

Third Holder

Client E-mail ID

Optional

Client Mobile Number

Declaration

I hereby declare that the mobile no./email ID mentioned in the Account opening form/ request for change in mobile no./email ID is my own

Request letter for registration of mobile no./email ID of person belonging to the client's family

Please note that the mobile no./email id/both mentioned in the Account opening form/ request for change in mobile no./email ID belongs to Mr/Mrs./Ms. _____ who is my _____ [relationship with the client]

F16

First/Sole Holder
 or Guardian
 (in case of Minor)

[Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your demat account]