

Application Form (Please tick relevant boxes):

☐ 3 in 1 form☐ 2 in 1 form☐ 1 in 1 form

Scheme Type

☐ ☐ ☐ ☐ ☐ ☐

Type of Account (Please tick one)

☐ NRI-Repatriable (NRE PIS)☐ NRI-Non Repatriable (NRO)

LG Code

☐ ☐ ☐ ☐ ☐ ☐

LC Code

☐ ☐ ☐ ☐ ☐ ☐

Company Code

☐ ☐ ☐ ☐ ☐ ☐

Branch Code

☐ ☐ ☐ ☐ ☐ ☐

Branch Name

Branch Inward Stamp &
Authorised Signatory with
Stamp

CPU Inward Stamp &
Authorised Signatory with
Stamp

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Registered Office Address: I Think Techno Campus, Building - B, "Alpha", Office Floor 8, Kanjurmarg (East), Mumbai - 400042.
Ph.: (022) 3075 3400 Fax : (022) 3075 3435 Website: www.hdfcsec.com (CIN - U67120MH2000PLC152193)

Correspondence Office Address: Trade Globe, 2nd Floor, Kondivita, Andheri-Kurla Road, Andheri East. Mumbai-400059.
Ph.: (022) 3901 9400 Fax : (022) 2834 6690.

Compliance Officer Name, Phone No. & Email ID: Ms. Binkle R. Oza, (022) 3045 3600, complianceofficer@hdfcsec.com

CEO/M.D. Name, Phone No. & Email ID: Mr. Dhiraj Relli, (022) 6741 9951, md@hdfcsec.com

Exchange	Member Code/ID	SEBI Registration No.	Segment	Date	<p>For any grievance/dispute please contact HDFC Securities Ltd. at the above address or email id - customercare@hdfcsec.com and Phone no.: (0+local area code + 3901 9400) and for escalation you may write to us at services@hdfcsec.com.</p> <p>In case not satisfied with the response, please contact concerned exchanges BSE at is@bseindia.com and Phone no. 022 2272 8097 and NSE at ignse@nse.co.in and Phone No. 1800 22 0058.</p>
BSE	393	INB011109437	Cash	27 Jun 2000	
BSE	393	INF011109437	Derivatives	12 Mar 2001	
NSE	11094	INB231109431	Cash	16 Aug 2000	
NSE	11094	INF231109431	Derivatives	08 Jan 2001	
NSE	11094	INE231109431	Currency	28 Aug 2008	
MCX-SX	10640	INB261109434	Cash	11 Jan 2013	
MCX-SX	10640	INF261109434	Derivatives	11 Jan 2013	
MCX-SX	30000	INE261109431	Currency	08 Oct 2008	

HDFC Securities is registered as a trading cum clearing member in all exchanges

RUNNING ACCOUNT AUTHORISATION

I confirm that my account may be maintained on a running account basis, whereby instead of paying any amounts or securities representing mark to market profits, you shall retain, withhold, set-off and / or appropriate the same for such purposes and in such manner as you deem fit and release the funds and / or securities due to me, on my specific request, either written or oral. I am aware that I have the right to amend or revoke this authorisation, at any time, by way of an amendment / revocation letter.

I confirm that you may settle the account once every calendar ☐ Quarterly or ☒ Monthly

S1

X Signature of Client

CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS

- I acknowledge and declare that I have received in Physical / Electronic, read and understood, acknowledged and agreed to the contents of –
 - the rights and obligations document [PART B-page no. 1],
 - the risk disclosure document [PART B-page no. 7],
 - the policies and procedures [PART B-page no. 14],
 - the additional rights and obligations document [PART C-page no. 1].
 - Payment instruction for charges

A/C opening charges

Total

Payment Mode	<input type="checkbox"/> Cheque Cheque No.	Dated	Bank Name
	<input type="checkbox"/> Direct Debit from HDFC Bank NRE / NRO Saving securities A/C no.		
	<input type="checkbox"/> None		

S2

X Signature of Client

Name:

Date: DDMMYYYY

Place:

Part - (A) IDENTITY DETAILS

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

Prefix ☐ Mr. ☐ Ms. ☐ Others ☐ Existing Customer ☐ Yes ☐ No

Applicant name F I R S T N A M E M I D D L E N A M E L A S T N A M E

Father / Spouse's name

Gender ☐ Male ☐ Female Marital status ☐ Single ☐ Married

Date of birth D D M M Y Y Y Y

PAN No. Evidence / Documents provided in case of PAN exemption

Aadhaar No., if any ☒ X ☒ X ☒ X ☒ X ☒ X ☒ X

Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National

Nationality ☐ Indian ☐ Other, please specify

Specify the proof of identity submitted ☐ PAN

☐ Any other (Please specify) Valid till D D M M Y Y

(Signature across the photograph)

Please affix your recent passport size photograph

Part - (B) ADDRESS AND CONTACT DETAILS

Below mentioned address is my ☐ Present Residence Address ☐ Office Address **Mandatory : Please attach Self Attested Proof of below address**

Residence / Correspondence Address

Landmark (Mandatory)

City / Town / Village PIN (Mandatory)

State Yrs at current city Y Y M M Residence Y Y M M

Country ☐ India ☐ Other

Specify the proof of address submitted for Residence / Correspondence address Valid till D D M M Y Y

Contact details Country code STD / Area code Number Extn.

Tel. (Off.) - -

Tel. (Res.) - - Country code Number

Fax - Mobile -

E-mail ID (Mandatory) I N C A P I T A L L E T T E R S O N L Y

☐ Please tick if permanent address is the same as above address

Permanent Address

Mandatory to be filled if different from above

Landmark (Mandatory)

City / Town / Village PIN (Mandatory)

State

Country ☐ India ☐ Other

Tel. (Res.) 9 1 - S T D N U M B E R Mobile no. 9 1

Part - (C) DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of the applicant

(Originals verified) and Self -Attested Document copies received

In-Person-Verification (IPV) details:

Name of the Person doing IPV

Signature of the Person doing IPV

Designation & Emp. code

Branch code D D M M Y Y Y Y

Name of the organisation: HDFC Bank Ltd.

Name and Signature of Authorised Signatory

Seal / Stamp of
HDFC Bank

D D M M Y Y Y Y Place

Note:

- If customer provides the KRA registered letter the documents for KYC shall not be taken from the customer.
- The KYC form shall be filled for all the holder's of the account

A. IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
10. For opening a minor's account with Depository Participant or Mutual Fund, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
12. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
13. Demat master or recent holding statement issued by DP bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

Important:

The Bank/ Securities staff carrying out the IPV should:

1. Sign in the place provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
2. Affix the OSV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.

Extended KYC Annexure - Individuals (including sole-proprietors)

(Applicable for Resident and Non-Resident Customers)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Date: _____

Place: _____

AOF Number : _____

Please fill the information below as requested	First Account Holder	Second Account Holder*
Name of the Account Holder		
Customer ID		
City of Birth		
Country of Birth		
Address for Tax purpose	<input type="checkbox"/> same as mailing address <input type="checkbox"/> same as permanent address	 <input type="checkbox"/> same as mailing address <input type="checkbox"/> same as permanent address
Address Type for the above	<input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	 <input type="checkbox"/> Residential or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Nationality (if national of more than one country, please mention all the countries separated by a comma)		
Father's Name (mandatory if PAN not provided)		
Spouse's Name		
Identification Type - Documents submitted as proof of identity of the individual	<input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election / Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card / letter <input type="checkbox"/> NREGA Card <input type="checkbox"/> Govt ID Card <input type="checkbox"/> Others(pls specify) _____	 <input type="checkbox"/> Passport <input type="checkbox"/> PAN <input type="checkbox"/> Election / Voter's ID card <input type="checkbox"/> Driving License <input type="checkbox"/> Aadhaar card / letter <input type="checkbox"/> NREGA Card <input type="checkbox"/> Govt ID Card <input type="checkbox"/> Others(pls specify) _____
Identification Number - for the identification type mentioned above		

Are you a tax resident of any country other than India?

 • First account holder : Yes ☐ No ☐

 • Second account holder* : Yes ☐ No ☐

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below:

Account holder details	Name of Customer	Country/(ies) of Tax residency #	Tax Identification Number (TIN)%	Identification Type (TIN or Other%, please specify)
First				
Second*				

To also include USA, where the individual is a citizen/ green card holder of USA

 % In case Tax Identification Number is not available, kindly provide functional equivalent⁵

Certification: I/We have understood the information requirements of this Form as per the CBDT notified Rules 114F to 114H and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the Terms and Conditions below and hereby accept the same. I/We understand that my personal details as provided /available in the bank/securities records will be used for CBDT reporting. Further, I / We hereby authorize HDFC Bank Limited to furnish the above information to HDFC Securities Limited for the purpose of compliance and reporting under CBDT Rules as applicable.

Signature of first holder

Signature of second holder*

CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with HDFC Bank or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

\$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)		Documentation required for Cure of FATCA/ CRS indicia
		<i>If customer does not agree to be Specified U.S. person/ reportable person status</i>
1	U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND 3. Any one of the following documents: a. Certified Copy of "Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
2	Residence/ mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
3	Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)
4	Standing instructions to transfer funds to an account maintained in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes; and 2. Documentary evidence (refer list below)

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

* Government or agency thereof or a municipality

For HDFC Bank/Securities use only :

Sourcing Branch Name : _____ Branch Code : ☐ ☐ ☐ ☐

Signature verified and form approved by : BDA / BM employee Code : _____ Signature & Date : _____

Name of the Applicant:

[illegible]**BANK AND DEPOSITORY ACCOUNTS DETAILS:**

Bank Name: ☐ HDFC Bank A/C ☐ Other Bank Name

[illegible]

Account Type: ☒ NRE ☐ NRO

[illegible][illegible][illegible][illegible]

Client ID (BO ID)	
	Depository Name (tick one) <input type="checkbox"/> NSDL <input type="checkbox"/> CDSL

TRADING PREFERENCES:

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchange	Cash Market	Future & Options
National Stock Exchange (NSE)	S5 X Signature of Client	S7 X Signature of Client
Bombay Stock Exchange (BSE)	S6 X Signature of Client	N.A

If in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker, Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer page no. 20)

Also fill up the details mentioned on page no. 25 to 29.

PAST ACTION: Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ No ☐ If yes, please specify:

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS: ☐ Not dealing, ☐ If yes, please mention details below:

Sub-Broker's Name: SEBI Registration number:

[illegible]

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

[illegible][illegible]

Details of disputes/dues pending from/to such stock broker/sub-broker:									
--	--	--	--	--	--	--	--	--	--

ADDITIONAL DETAILS: I/we wish to receive ☐ Electronic Contract Note (ECN) **OR** ☐ Physical contract note (PCN)

[illegible]

Number of years of Investment/Trading Experience: No prior Experience ☐ ☐ Stock ☐ ☐ Derivatives

[illegible][illegible]

OTHER DETAILS (PLEASE SPECIFY)

*Gross annual income(₹) ☐ < 1 lac ☐ 1 to 5 lac ☐ 5 to 10 lac ☐ 10 to 25 lac ☐ > 25 lac
(Income range per annum)

OR Net worth (₹) [][][][][][][][] as on date [][][][][][][][] Net worth should not be older than one year

Occupation details (please tick any one below and give brief details)

☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ Housewife ☐ Student ☐ Others (please specify) _____

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

Any other information

INTRODUCER DETAILS (Optional)

Name:

Status: ☐ Sub Broker ☐ Remisier ☐ Authorized Person ☐ Existing Clients ☐ Others, Please specify

Address:

Phone:

I1
X Signature of Introducer

NOMINATION DETAILS (for individuals only)

I/We wish to nominate ☐ Yes ☐ No Name:

Relationship: PAN DOB:

Address: Phone:

If Nominee is a minor, name of guardian:

Address of Guardian:

Phone

G1
X Signature of Guardian

WITNESSES (Only applicable in case the account holder has made nomination)

Name : <input type="text"/>	Name : <input type="text"/>
Address: <input type="text"/>	Address: <input type="text"/>
Date: <input type="text"/> Signature X W1	Date: <input type="text"/> Signature X W2

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents.

S8
X Signature of Client

Place :

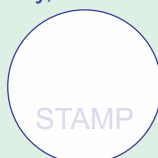
FOR OFFICE USE ONLY (LC to fill details and Sign)

UCC Code allotted to the Client:

Documents verified with Originals and In-Person Verification done by	Client Interviewed By
Employee Name <input type="text"/>	<input type="text"/>
Emp. Code <input type="text"/> Designation <input type="text"/>	<input type="text"/> Designation <input type="text"/>
Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/> Signature of Authorised Signatory	<input type="text"/> Signature of Authorised Signatory

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Date:



X Signature of Authorised Signatory

To,
HDFC Bank Ltd.,
Depository Services, Tex Center, 2nd and 3rd Floor, P Wing,
Chandivali Farm Road, Chandivali, Andheri (E), Mumbai - 400 072.

Subject: FEMA Declaration

I (First/Sole holder)/ We _____

agree that I/We have complied with the FEMA regulation & shall continue to do so in the future with respect to any new regulations that may be introduced by the Indian Government from time to time.

Name of all Account Holder/s

Signature of all Account Holder /s

1) _____

2) _____

3) _____

Date: _____

Place: _____

Person of Indian Origin (PIO) Declaration (Not to be used by citizens of Bangladesh or Pakistan)

Dear Sir / Madam,

I (Name) _____ hereby declare that I am a Person of Indian Origin (PIO) because I satisfy one of the following conditions: (Please select from the below)

- I held an Indian Passport earlier
- My father / mother / grandfather / grandmother (Name) _____ is / was a citizen of India
- I am a spouse of (Name) _____ who is an Indian Citizen
- I am a spouse of (Name) _____ who is a PIO

Further, I hereby - (Please select from the below)

- Submit the following documents in support of my declaration.

- _____
- _____

- Declare that I do not possess any document in support of my declaration

I confirm the above information is true and correct and that I may be required to prove my status as a PIO if I'm questioned by any authority.

Signature of Declarant: _____

Place : _____

Date: _____

Declaration for a Non- English language document submitted to the Bank

To,
The Manager
HDFC Bank

Date: _____

Dear Sir/Madam,

Re: Declaration

I / We request you to kindly open an NRE PIS / NRO (Savings / Current / Time Deposit) / FCNR Deposit in my / our name on the basis of the documents submitted as a proof of my / our NRI Status (other than my / our passport). The details as per the document are:

1. Document Name : _____
2. Document No : _____
3. Issued By : _____
4. Issued At (Place) : _____
5. Issued On : _____
- 6 Valid Til : _____

I / We hereby confirm the validity of the above document given that the same in a non-English language.

I / We also confirm that I / We will inform HDFC Bank in case my / our residential status changes from a Non-Resident Indian to a Resident Indian and will have the Non-Resident Account (s) opened in my / our name changed to Resident / RFC accounts (as eligible).

Yours Sincerely,

X Signature (1st holder)

X Signature (2nd holder)

X Signature (3rd holder)

Name and Signature Mismatch Declaration

Customer Name: _____

(as per Demat / Trading AOF)

☐ I have made the necessary enquiries on the discrepancies observed between the name on the ID / address proof & Name on AOF and I hereby confirm that the individual signing the AOF and the individual appearing on the ID / address document are one and the same person. I confirm that name mentioned above & name on ID /Address proof _____ are one and the same person.

☐ We confirm that the client has signed on the DP Account Opening Form in presence of the Bank staff and the signature agrees with the specimen held on our record.

Employee Full Name: _____ Employee Code: _____

Employee Signature: _____ Date: _____

* Please affix the Branch Stamp (✓ Tick the relevant boxes for necessary actions.)



I Mr. / Ms. / M/s. _____;

HDFC Bank Ltd. belongs to my: ☒ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child

Customer Name :

D	D	M	M	Y	Y	Y	Y
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**SELF- DECLARATION
(PRODUCTS AND SERVICES AVAILED OUTSIDE THE COUNTRY OF RESIDENCE/DOMICILE OF [●]
BY MEETING OUR BRANCH OFFICIALS/ RMs IN INDIA)**

[illegible]

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To,
HDFC Securities Limited

I Think Techno Campus, Building B, Alpha, Office Floor 8, Near Kanjurmarg Station, Kanjurmarg East, Mumbai-400042

I/We, _____ refer to the application for opening of [insert trading account] at my/our request, on _____. In consideration of HDFC Securities Ltd. ("HSL") having agreed to accept my/our application for opening the account ("AOF"), I/we hereby represent, warrant and undertake that each of the following statements are/shall be true and accurate and shall continue to be true and accurate on any given date and HSL would not have offered the trading services to me/ us in the absence of the following representations and warranties:

a./I/ We hereby certify that I am/ we are resident(s) of _____ and was/were desirous of availing the services of HSL and that I/ we have voluntarily availed the product/facility/service in connection with trading and investment related services and as more particularly set out in the Rights and Obligations as set out in Part B and Part C of the AOF ("Services") from HSL while in India and have executed all documents in relation to availing such Services while in India and none of the Services availed by me/us constituted as an offer or solicitation by any person to whom it is unlawful solicit and offer in my/our country of residence/ domicile:

b./We understand that HSL is not registered with the United States Securities and Exchange Commission and none of the activities undertaken by HSL constitute as an offer to sell, or a solicitation of an offer to buy, or an offer in any jurisdiction in which it is unlawful to make such an offer or to any person to whom it is unlawful to make such an offer or solicitation in such jurisdiction;

c. There are/ shall be no legal or regulatory prohibitions or impediments, contractual or legal as per the laws of my/our country of residence/ domicile, which restricts me/us from maintaining my/ our relationship with HSL, including availing the aforementioned Services from time to time:

d. I/We, further specifically acknowledge and undertake that I/we have voluntarily availed the Services of HSL and have not been offered, solicited or induced, by means of advertisements, telephone call, seminars, emails, introductory visits by HSL or any of its employees or agents to my/our country of residence/ domicile to effect and/or promote/ offer their Services, or by recommending the purchase or sale of particular securities through research reports or offering quotations, to enter, execute or confirm any trades or avail any of the Services or to accept any provisions of the AOF or any documents signed by me/us pertaining to this relationship with HSL;

e./We have read and am/are fully aware all the terms and conditions in relation to the Services and the trading account opened by me/us:

f. In availing the aforementioned Services from time to time I/ we shall abide and ensure that I/ we am/are and shall be in full compliance with all Applicable Laws, whether in my/ our country of residence/ domicile or in any other jurisdiction and shall obtain all necessary regulatory approvals, if required, in connection with any such Services or any other transactions and shall promptly make all necessary regulatory reporting, within the specified timelines, to the relevant authorities in my/ our country of residence/ domicile or any other country of residence where I / we may relocate to in future and I/we agree to furnish to HSL, upon request, copies of the approvals/ reports, if any and shall be solely responsible for such compliances under Applicable Laws;

g. All decisions to avail the aforementioned Services from time to time are/ shall be my/our own independent decisions, and are not/ shall not be made in reliance on any views or opinions, if any, as may be expressed by HSL or its representatives from time to time, and are/ shall be arrived at after personal analysis and careful consideration of the risks, benefits, terms and conditions taking into account my/our investment objectives, financial situation and particular needs;

h./We shall not use the Services availed from HSL in any manner which may be in contravention of or subject HSL to any Applicable Laws, including but not limited to any tax laws of any country other than India;

I/We hereby confirm that HSL shall act upon my/our instructions and all actions undertaken by HSL and/or its officers are in furtherance of my instructions and shall be binding on me/us:

j./We are aware that the Services availed by me/us while in India may or may not be serviced by the offshore branches/ representative offices/ subsidiaries of HSI located outside India.

I/we have provided HSL with our personal information and hereby request HSL, its affiliates, representatives, associates, service providers and employees of HSL and its affiliates, to contact me/us by telephone, or otherwise communicate with me/us from time to time in connection with servicing issues pertaining to the relationship which I/we have with HSL/ its affiliates from time to time. In addition to the above, HSL, its affiliates and representatives, associates, service providers and employees of HSL and its affiliates may contact me/us from time to time by telephone, or otherwise communicate with me/us in connection with new Services of HSL/ its affiliates.

I/We shall indemnify HSL, its affiliates, representatives, employees and agents against all

losses, costs, expenses, suits, damages, whatsoever arising out of or in connection with their assistance and their services that may be provided to me/us for availing the aforementioned Services.

I/We acknowledge that HSL relies on my/ our representations, warranties, undertakings and statements contained herein in agreeing to establish/ continue its relationship with me/ us and in agreeing to provide the aforementioned Services to me/us from time to time.

I/We solemnly affirm that the above stated details are true, correct and complete and I/we have not withheld any information. I/We have not hidden any material information from HSL to induce them to open the account at my/our request. I am/We are aware that HSL has agreed to open and allow me/us to operate HSL account solely based on my/our affirmation as above. In consideration of HSL agreeing to open an NRI account in my/our name on the basis of the above declaration, I/we hereby keep HSL, its successor and its officers saved against all losses and damages caused by opening of the aforesaid NRI account on the basis of the above information provided by me/us.

I/we confirm that I/we have complied with and/or will continue to comply with the all applicable laws under Indian, federal, central, international, foreign, state, provincial and foreign jurisdictions, local or other law including all applicable provisions of all constitutions, decrees, treaties, statutes, laws (including the common law), codes, notifications, rules, regulations, policies, guidelines, circulars, directions,

directives, ordinances, orders, notes, clarifications, releases or any other forms of delegated legislation of any Governmental authority, statutory authority, court, tribunal or other judicial or quasi-judicial authority, in India and/or the country of my/our residence/domicile or any other country of residence where I / we may relocate to in future, having jurisdiction over transactions of this nature ("Applicable Laws").

I/We hereby acknowledge that I/we have been given the opportunity to consult and review this undertaking with my/our investment advisor, solicitor, accountant, bank manager and/or any other professional advisers who specialize in advising on investment in shares and other securities in relation to any and all doubts, that I/we may have, about the activity or the contents of this document. I/We shall, at my/our own discretion, further, seek advice from any overseas advisors if any investment is to be made outside my/our country of residence/ domicile.

I/We hereby further declare that, I am/we are making such declarations and undertakings independently, without having been persuaded or induced by HSL or its officers/ agents/ representatives to do so in any manner whatsoever and without any reservations.

Client Name:_____

Client Name:_____

X Client Signature

X Client Signature

FOR OFFICE USE ONLY

Track ID No.

Maker Name:_____

Maker Name:_____

Employee ID:_____

Employee ID:_____

Signature:_____

Signature:_____