PhonePe Invest

Know Your Client (KYC)

Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

CDSL VENTURES LIMITED

….Exploring New Horizons

PhonePe Invest

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ _____ _____ _____

Maiden Name+ (if any) _____ _____ _____ _____

Fathers/Spouse's Name* _____ _____ _____ _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Others _____

Residential Status* ☐ Resident Individual ☐ Non-Resident Indian (NRI)

Please Tick (✓) ☐ Person of Indian Origin ☐ Foreign National

Recent passport size Applicant Photo

Cross Signature across photograph

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX _____

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) _____

☐ E —NREGA Job Card _____

☐ F — NPR _____

☐ Z —Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

PhonePe Invest

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/ Town/Village* _____ District+ _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A — Aadhaar Card XXXX XXXX _____

☐ B — Passport Number _____ (Expiry Date) _____

☐ C — Voter ID Card _____

☐ D —Driving License _____ (Expiry Date) _____

☐ E —NREGA Job Card _____

☐ F — NPR Letter _____

☐ Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details (in CAPITAL)

Email ID* _____

Mobile No. * _____ _____

Tel (Off) _____ _____ Tel (Res) _____ _____

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: _____ (DD-MM-YYYY)

PLACE: _____

Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____	☐ Self certified document copies received (OVD)
Emp. Name _____	☐ True Copies of documents received (Attested)
Emp. Code _____	AMC / Intermediary Name :
Emp. Designation _____	
Employee Signature and Stamp	Institution Name and Stamp

PhonePe Invest

PAN Image

Proof of Address and Proof of Identity

Signature

Stock Broking & Demat Account Opening Form

Account Opening Kit

Index of Documents :

Sr. No	Name of Document	Brief Significance of the document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / checklist	12-21
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / checklist	
2	Rights and Obligations	Document stating the Rights & Obligations of stock broker / trading member and client for trading on Exchanges including additional rights & obligation in case of internet / wireless technology-based trading.	As per Annexure A
3	Rights and Obligation of Beneficial Owners and Depository Participant	Document stating the Rights & Obligations of Depository Participant and client for demat account.	As per Annexure A
4	Risk Disclosure Document (RDD)	Document detailing risk associated with dealing in securities market	As per Annexure A
5	Guidance Note	Document detailing do's and don'ts for trading on Exchange, for the education of the investors and Investor charter for Trading and DP	As per Annexure A
6	Policies & Procedures	Document describing significant policies and procedures of the stock broker	As per Annexure A
7	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the Stock Exchange(s)	22-23
8	Nomination	Form to nominate / opt out of nomination	24-26
9	Most Important Terms & Conditions	Highlighting the most important terms and conditions as prescribed by the Exchanges	36
10	Terms and Conditions for Research Services	Terms and Conditions applicable in case of access to WealthBaskets as well as Subscription	37
11	Most Important Terms and Conditions - Research Analyst Services	Highlighting the most important terms and conditions for Research Analyst Services as prescribed by the exchanges	38
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
9	Undertaking	Contains voluntary undertakings by the client with respect to PhonePe Wealth Broking Pvt. Ltd. (PPWB) internal operations during relationship with PPWB	27-28
10	Running Account Authorisation	Letter of Authorisation for maintaining Running Account with PPWB and client consent letter for receiving SMS from PPWB	29-30
11	Mobile Declaration	Terms and Conditions for receiving SMS Alerts from CDSL	17
12	Demat Debit and Pledge instruction (DDPI)	Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations, pledging / re-pledging of securities and for other purposes as prescribed by regulator.	35

Membership Details

Name of the Stock Broker / Clearing Member	PhonePe Wealth Broking Private Limited
Registration Number	PhonePe Wealth Broking Private Limited, Member of NSE & BSE SEBI Stock Broker Registration Number: INZ000302639 Dated October 8, 2021 Depository Participant services through PhonePe Wealth Broking Private Limited DP Registration Number: IN-DP-696-2022 dated June 24, 2022 Research Analyst Registration Number - INH000013387 BSE RA Enlistment Number: 5887 MF ARN:187821
Registered Office Address	Office - 2, Floor 3, Wing A, Block A, Salarpuria Softzone, Bellandur Village, Varthur Hobli, Outer Ring Road, Bangalore South, Bangalore , Karnataka - 560103
Phone No	080-68727687
Fax	NA
Website	https://www.phonepeinvest.com
Correspondence Office Address	Office 1, Floor 2 of Block A, at Sattva Softzone, Bellandur Village, Varthur Hobli, Bengaluru (Bangalore) Urban, Karnataka, 560103
Compliance Officer:	**Sivakumar Murugan** **Phone No:080-68727689** **Email id:** compliance@phonepeinvest.com

Senior Managing Official / Director Details		
Name	**Phone No**	**Email ID**
Sujit Modi	080-68722200	Management@phonepeinvest.com
Nilesh Datta Naik	080-68722200	
Vijay Ajmera	080-68722200	
Meenakshi Sharma	080-68722200	

For any grievance, please contact PPWB at the above address or email **customerhelpdesk@phonepeinvest.com** and Phone Number: 080-68727687

In case not satisfied with the response, please contact the concerned Exchange at

NSE: ignse@nse.co.in or contact at 022-26598100

BSE: is@bseindia.com or contact at 022-22728097

CDSL:complaints@cdslindia.com or contact at 1800-200-5533

Filing complaints on SEBI Complaint Redress System (SCORES) –

Easy & quick (Scores Link) : https://scores.sebi.gov.in/

For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

Instruction /Checklist for filing KYC form

A. General Instructions

- Self-attestation of documents is mandatory.
- Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent addresses are different, then proofs for both must be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/ Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
- Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state-owned corporation, important political party official, etc

B. Proof of Identity (POI)

- PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
- If driving license number or passport is provided as proof of identity, then expiry date is to be mandatorily furnished.
- Mention identification / reference number if Z Others (any document notified by the central government) is ticked.
- Others Identity card with applicant's photograph issued by any of the following: Central/ State Government 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 (POI)

- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- Others includes Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
- Identity card/document with address issued by any of the following: Central/ State Government 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.
- Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
- For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
- Proof of address in name of spouse may be accepted.
- Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
- Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card.

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

- Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
- Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
- Investors residing in the state of Sikkim.

- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

- Authorized officials of Asset Management Companies (AMCs).
- Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
- KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'
- Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC. Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker. Original Seen Verification (OSV) of documents as well as IPV/VIPV is exempted.
- Intermediary attestation on documents is exempted.

PhonePe Invest

Know Your Client (KYC) Application Form (For Individuals only)

- Please fill the form in ENGLISH & in BLOCK letters
- Fields marked * are mandatory
- Fields marked * are pertaining to CKYC & mandatory only if processing CKYC also

Application Number:

Application Type : ☐ New KYC ☐ Modification KYC

KYC MODE ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline KYC ☐ Digilocker

1. Identity Details (please vrefer guidelines overleaf)

PAN* _____ (Please enclose a duly attested copy of your PAN Card)

Name* (same as ID proof) _____ _____ _____ _____

Maiden Name* (if any) _____ _____ _____ _____

Father's/Spouse's Name* _____ _____ _____ _____

Date of Birth* _____

Gender ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☑ Indian ☐ Others _____

Residential Status
☑ Resident Individual ☐ Non-Resident Indian (NRI)
☐ Person of Indian Origin ☐ Foreign National

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A. Aadhaar Number **XXXX XXXX**

☐ B. Passport Number _____ **Expiry Date** _____

☐ C. Voter ID Card _____

☐ D. Driving License _____ **Expiry Date** _____

☐ E. NREGA Job Card _____

☐ F. NPR _____

☐ Z. Others _____ (any document notified by Central Govt) **ID Number** _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City/Town/Village* _____ **District*** _____ **PIN Code*** _____

State* _____ **Country*** _____

Address Type*
☑ Residential/Business ☐ Residential ☐ Business
☐ Registered Office ☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line 3

City/Town/Village* District* PIN Code*

State* Country*

Address Type* ☑ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A. Aadhaar Number XXXX XXXX

☐ B. Passport Number Expiry Date

☐ C. Voter ID Card

☐ D. Driving License Expiry Date

☐ E. NREGA Job Card

☐ F. NPR

☐ Z. Others (any document notified by Central Govt) ID Number

3. Contact Details (in CAPITAL)

Email ID* Mobile No* +91

Tel (off) Tel (res)

4. Applicant Details

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.
I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: (DD_MM-YYYY)

PLACE:

Applicant e-SIGN	Applicant Wet Signature

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details
IPV Date Emp. Name Emp. Code Emp. Designation	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC/ Intermediary Name
Employee Signature and Stamp	Institution Name and Stamp

6. OTHER DETAILS

A	Occupation Type	☐ Private Sector ☐ Public Sector ☐ Government Sector ☐ Business ☐ Professional ☐ Self-Employed ☐ Retired ☐ Housewife ☐ Agriculturalist ☐ Others ☐ Student
B	Gross Annual Income Details	☐ Below 1 Lacs ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ More than 25 Lacs

I am an Indian Resident. I am neither a specified US person, US citizen/ green card holder nor a Tax resident of any other country ☑ YES ☐ NO

C	ISO 3166 Country Code of Jurisdiction residence	
	Tax identification number or Equivalent	
	Place of Birth	
	ISO 3166 country code of Birth	

Addition / Deletion of Related Person - Details of Related Person

☐ Addition of Related Person ☐ Deletion of Related Person

D	KYC number of Related Person (if available)	N/A
	Related person type	☐ Guardian of Minor ☐ Assignee ☐ Authorised Representative
	Name	N/A

Addition of Related Person - Details of Related Person

D	Identity Proof submitted	N/A
	Identification Number	N/A
	Expiry Date	N/A
	Other (any document notified by central Government)	N/A
	Identification Number	N/A
	Simplified Measure Account Document Type Code	N/A
	Identification Number	N/A

7. TRADING ACCOUNT DETAILS		
Bank account Details		
A	Customer Name	
	Account Type	
	Bank Name	
	Bank Branch	
	Branch address	
	Account Number	
	MICR Number	
	IFSC Code	
B	Mode in which you wish to receive RDD, Rights and obligation, Guidance Note and other standard documents	☐ Physical ☑ Electronic
C	Politically Exposed Person	☐ Politically Exposed Person ☐ None ☐ Related to Politically Exposed Person
PAST REGULATORY ACTIONS		
D	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 such past actions ☐ Yes, details as

8. DEPOSITORY ACCOUNT DETAILS	
Depository Name	CDSL
Depository Participant Name	PhonePe Wealth Broking Pvt Ltd
Beneficiary Name	
Depository ID	12096000
Beneficiary ID	

9. DEALING THROUGH OTHER STOCKBROKER	
Whether dealing with any other stockbroker / sub broker (in case dealing with multiple stock broker/ sub broker provide details of all)	
Name of the Stockbroker / Sub broker (if any)	
SEBI registration number	
Registered address	
Contact details	
Client Code	
Exchange	
Website	
Details of dispute / dues pending from /to stock broker	

10. INTRODUCER DETAILS (optional)	
Name of the Introducer	**N/A**
Status of the Introducer - Sub broker/ Remisier / AP / Existing client	**N/A**
Address of the Introducer	**N/A**
Phone Number	**N/A**
Signature	**N/A**

11. TRADING PREFERENCES						
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.						
Exchanges	**NSE, BSE & MSEI**					**MCX, NCDEX, BSE & NSE**
All Segments	**Cash**	**Mutual Funds**	**F&O**	**Currency**	**Debt**	**Commodity Derivatives**

If you do not wish to trade in any of the segments / Mutual Fund, please mention here _____ .

Financial Proof (Required for activation of derivatives segment)
1. Copy of ITR Acknowledgement (Income Tax Return)
2. Form 16
3. Copy of Annual Accounts
4. DP (Depository Participant) statement
5. Salary Slip
6. Net Worth Certificate
7. 6 months Bank statement
8. Any other relevant documents substantiating ownership of Assets.

12. ADDITIONAL DETAILS	
Account Opening Form / Contract Note Declaration	
Account Opening Form to be delivered through :	☐ Physical Mode ☐ Electronic Mode
Contract Note to be delivered through :	☐ Physical Mode ☐ Electronic Mode
If Electronic mode, your email address	
The E-mail ID mentioned above belongs to	☑ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parent
Mobile Trading	
Whether you wish to avail the facility of internet trading / wireless technology / mobile trading :	☑ YES ☐ NO
The mobile number mentioned above belongs to :	☑ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parent

For office use only			
UCC Code allotted to the Client _____			
	Documents verified with originals	**Client interviewed by**	**In-Person Verification done by**
Name of the Employee			
Employee Code			
Designation of employee			
Date			
Signature			

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.

Signature

Date :

Seal & Stamp of Broker

PhonePe Wealth Broking Pvt Ltd (Additional KYC form for opening a Demat Account)

I hereby give my consent for mapping my UCC/ Trading account with Demat account opened with PhonePe Wealth Broking Pvt Ltd. Participant)

For Individual Resident Account (To be filled by the Depository Participant)

For Individual Resident Account (To be filled by the Depository Participant)	
Application Number	
Date	
DP Internal Ref No	
DP ID	12096000
Client ID	

I/We request you to open a demat account in my/ our name as per following details :

(To be filled by the applicant in BLOCK LETTERS in English)

Holder's Details			
Sole / First Holder Name			
PAN		UID	
Exchange	☐ NSE ☐ BSE	UCC	
ID			
Second Holder Name			
PAN		UID	
Third Holder Name			
PAN		UID	

Status	Individual
Sub Status	Individual Resident
DP Internal Ref No	
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be Yes)	☑ YES ☐ NO
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be No)	☐ YES ☑ NO
Transfer of securities held in the beneficial owner (Please refer to page number 35 for details on DDPI)	☐ DDPI ☐ E - DIS

Account Statement Requirement:	☐ Daily ☐ Weekly ☐ Monthly ☐ Fortnightly ☐ As per SEBI Regulation
I/We request you to send electronic transaction-cum-holding statement at the following **Email ID:**	☐ YES ☐ NO
I/We would like to receive the Annual report in (Tick the applicable box. If not marked the default option would be Physical)	☐ Physical Mode ☐ Electronic Mode ☐ Both
I would like to avail the Basic Service Account Facility (BSDA)	☐ YES ☐ NO
I/We wish to receive dividend/interest directly in to my bank account as given below through ECS (if not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☑ YES ☐ NO
I/ we would like to share email Id with RTA	☑ YES ☐ NO

DIS Booklet:

☐ I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though registered for eDIS / DDPI for executing delivery instructions for settling stock exchange trades.

☑ I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a DDPI/registered for eDIS in favour of PPWB for executing the delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Clearing Member/or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my / our request at any later date.

Signature

Date :

Bank account Details for crediting Dividends	
Account Type	
Bank Name	
Bank Branch	
Branch address	
Account Number	
MICR Number	
IFSC Code	
Customer Name	
SMS Alert Facility (Refer to Terms & Conditions)	☑ YES ☐ NO
Mobile No	+91
Easi	To register for easi, please visit CDSL website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)	
☐ Jointly	☐ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If no marked the default option would be **first holder.**

☑ First Holder	☐ All Holder ☐ Second Holder ☐ Third Holder	**Email ID:** _____

Tariff Sheet

Charge Head	Tariff
Equity Intraday	₹20 per executed order or 0.1% whichever is lower with a minimum charge of ₹2*
Equity Delivery	₹20 per executed order or 0.1% whichever is lower with a minimum charge of ₹2*
F&O - Futures & Options	₹10 per executed order
WealthBasket Platform Fees	Zero Platform fees for all WealthBasket^
Margin Pledge/ Unpledge/ Repledge charges	Refer "Sheet for Demat Account" (pg 23)
RMS or Auto Square off charges	Additional ₹30 per executed order placed through RMS / Auto Square off intraday or otherwise by PPWB
Physical AOF courier charges	₹500
Call and Trade charges	₹30 per executed order

Charge Head	Equity Delivery	Equity Intraday	F&O - Futures	F&O - Options
Security Transaction Tax	0.1% on turnover	0.025% on sell turnover	0.05% on the sell side	0.15% on sell side (on premium). 0.15% of the intrinsic value on options that are bought and exercised.
Exchange Transaction charges (NSE)	0.0030699% of turnover	0.0030699% of turnover	0.0018299% of turnover	0.03552.99% (on premium)
Exchange Transaction charges (BSE)	0.00375% of turnover	0.00375% of turnover	0	Sensex and Bankex Options (All Expiries) – 0.0325% (on premium) All other Options - 0.005% (on premium)
SEBI Turnover Fees	0.0001% of turnover	0.0001% of turnover	0.0001% of turnover	0.0001% of turnover
Stamp Duty	0.015% on buy turnover	0.003% on buy turnover	0.002% on buy side	0.003% on buy side
IPFT	0.0000001% of turnover	0.0000001% of turnover	0.0000001% of turnover	0.0000001% of turnover

Notes:

- ^ Valid till 31st March, 2027
- *Brokerage will not exceed the rates specified by SEBI and the Exchanges. The above tariff is subject to change. Changes if any will be intimated 30 days in advance.
- Clients who opt to receive Physical contract notes will be charged ₹50 per contract note. In case of ECN bounce, Rs. 100 per contract note would be charged by debiting your ledger towards courier and handling charges.
- Charges for other value added services will be applicable at the time of availing such service
- Fund transfer charge of ₹15 per transaction except for UPI transactions
- Interest will be levied at 18% per annum on the outstanding amount beyond settlement date till the date of payment and will be charged on daily basis
- GST is applicable on all above charges except stamp charges
- PPWB acts as a distributor of mutual funds. Disputes with respect to the distribution activity would not have access to Exchange investor redressal or Arbitration mechanism.
- PPWB as a SEBI registered research analyst provides WealthBaskets.
- Transaction/Turnover Charges for other segments :
  BSE transaction charges in X, XT and Z groups to ₹10,000 per crore and group P and ZP groups to ₹1,00,000 per crore of gross turnover.

Signature

Date :

Sheet for Demat Account :

Stamp charges payable for DDPI upfront		Nil
Account Maintenance Charges (Regular Account, Non BSDA)		
a	Individuals	NIL
Account Maintenance Charges (BSDA)		
a	Individuals	NIL
Transaction Charges: (Market Trades)		
Buy(Receive)		Nil
Sell (Debit)		• Rs 18.50 per instruction per ISIN (includes CDSL charges of Rs 3.25)# • Rs 3.50 per instruction per ISIN for transaction value* less than Rs 300 (includes CDSL charges of Rs 3.25)#
Transaction Charges: (Off-Market Trades)		
Buy(Receive) / Sell (Debit)		Nil / 0.04% or Rs.50 per ISIN whichever is higher (includes CDSL charges of Rs 3.25)#
Demat / Remat (Per certificate)		Rs. 150 per certificate
Courier charges per Demat/Remat/.CMR		Rs. 100
Pledge Request		Rs. 20 per request
Unpledge Request		Rs. 20 per request
Pledge invocation		Rs. 20 per request
Margin Pledge / Unpledge / Repledge		Rs. 20 for pledge / Rs. 20 for unpledge / Rs. 20 for repledge
Periodic Statement (Regular Account, Non BSDA)		
By Email / Physical		Free / Rs. 100 per request
Adhoc / Non-Periodic Statement Requests (Regular Account, Non BSDA)		
a	By Email	Rs.50 per request
b	Physical	Rs. 100 per request up to 10 pages. Every additional page at Rs. 5
Delivery instruction		
a	First Delivery Instruction Book	Free (10 Leaves)
b	Every Additional Booklet (10 Leaves)	Rs.100
Payment Bounce Charges		Rs. 350
Failed Transactions		Rs. 50 per ISIN

Modification in CML (such as Email, Mobile, Address, Bank Details and other profile details modification)	Rs. 100 per request

Note: Account Maintenance Charge(AMC) is non refundable.

CDSL charges of Rs 3.25 after considering a discount of Rs 0.25 for female demat account holder (as a first holder), MF and Bond ISINs.
If BSDA client requests for a physical statement, Rs 25 per statement will be applicable. All other on-market and off-market transactions related charges as mentioned above shall be applicable to BSDA.For all purposes, the bill date shall be construed as the date demanded and the bills will be considered as the bill cum notice for payment. PhonePe Wealth Broking Private Ltd. reserves the right to freeze depository accounts for debit transactions in case of non payment of charges after two days from the bill date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. GST is applicable on all above charges exceptstamp charges. Any instruction to PPWB to transfer securities from customer's account shall be rejected by PPWB, if there is any debit balance or any unpaid amounts due as per this tariff sheet to PPWB.
* Transaction value is based on the closing price of the instrument.

Signature

Nomination for Demat Account

1. I / we wish to make nominations [as per deatils given below]

Nomination Details				
Nomination can be made up to three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Mandatory Details				
1	**Name of the nominee(s)** (Mr./Ms.)*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is minor)			

2. I want the following nomination details to be printed in the account/ holding statements (tick one of the boxes below):

☐ Name of the nominee(s)

☐ Whether nomination give: Yes / No (not name of the nominee)

3. Optional details of Nomination:

	Details	1st Nominee	2nd Nominee	3rd Nominee
A	% Share of each Nominee** (equal share if % is not specified)			
B	Mobile of Nomiee*** (Please note that the DP will be able to reach out to your nominee if you provide the contact details)			
C	Email ID of nominee(s)*** (Please note that the DP will be able to reach out to your nominee if you provide the contact details)			
D	Nominee Identification details	☐ Pan ☐ Aadhaar (Last 4 Digits) ☐ Driving License ☐ Passport	☐ Pan ☐ Aadhaar (Last 4 Digits) ☐ Driving License ☐ Passport	☐ Pan ☐ Aadhaar (Last 4 Digits) ☐ Driving License ☐ Passport

** Any odd lot after division shall be transfered to the first nominee mentioned in the form.
*** The aforesaid details shall be optionally provided for the guardain, in case of nominee is minor

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

*** If nomination is submitted

Online: Validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.

Physical / offline: Wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:-

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

Declaration for Opting-out of Nomination

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our demat account at this point of time.

I / We understand that:

i)The nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

ii) In the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

iii) If no claim is made on the demat account for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I / We confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of holder(s)*

1. _____ 2. _____ 3. _____

Sub: Voluntary Undertaking/Authorisation

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize PPWB to do the following:

i) Order placement Instruction:

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call centre/branch specified for the said purpose by PPWB in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders /instructions, in person or over phone or Email and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify PPWB and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

ii) No Market Manipulation:

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, PPWB has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

iii) Errors and Omissions:

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances PPWB shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold PPWB responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by PPWB.

iv) Not Debarred by Any Regulator

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform PPWB, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and PPWB on its own comes to know of such action, PPWB has the right to suspend/close my trading account and refuse to deal with me. Also, PPWB can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

v) PMLA Declaration:

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002 as displayed on website of PPWB. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

vi) Indemnification:

I hereby indemnify and hold PPWB, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the PPWB directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

Signature

vii) Deliveries:

The client shall ensure that the shares are properly transferred to the designated demat account of PPWB, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/PPWB. In case the client fails to transfer the shares on time to PPWB, PPWB shall not be responsible for any loss/damages arising out of such delayed transfers.

☑ I/We have received and read the below mentioned documents of PPWB and agree to abide by and be bound by the same and the By Laws as are in force from time to time.

Part B - Additional Documents

Sr. No	Brief Description of the document	Link
1	Rights and obligations of Stockbrokers, sub-brokers and Clients as prescribed by sebi and stock Exchanges.	Part B
2	Internet & wireless technology-based trading facility provided by Stockbroker to the client	Part B
3	Rights and obligations of beneficial owner and depository darticipant as prescribed by SEBI and depositories	Part B
4	Risk disclosure document for capital market and derivatives segments	Part B
5	Guidance note - Do's and Dont's for trading on the Exchange(s) for investors	Part B
6	Policies and procedures	Part B
7	Investor charter	Part B

Date:

Signature

Running Account Authorisation

Name	
UCC	

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I /We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.

2. I/We request you to settle my fund : ☐ Monthly ☐ Quarterly

3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations as per the regulations, calculated in the manner specified by the exchanges from time to time.
4. We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.
5. I/We confirm you that I can revoke the above-mentioned authority at any time.
6. This running account authorization would continue until it is revoked by me.

Date :

Signature

I/We have received and read the duly executed copy of KYC, Rights and Obligations documents, Risk Disclosure document (RDD) for Capital and Derivatives, Guidance Note - Do's and Don'ts for trading on the Exchange(s) for investors, Terms & conditions, PPWB Tariff Sheet, Policies and Procedures Document, General Terms & Conditions governing securities trading and broking services of PPWB 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 PPWB 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.

I agree that if I am US Person or Tax resident of a reported foreign jurisdiction other than US requiring reporting under FATCA / CRS or any other laws, my account details required under Inter Government Agreement (IGA) / Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by PPWB to the tax authority.

ECN Declaration: I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form. I am aware that the Member has to provide electronic contract note for my convenience on my request only. Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations. My email id as provided while account opening form has been created by me and not by someone else. I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address. I hereby give my consent to PhonePe Wealth Broking (PPWB) to download my KYC Records from the Central KYC Registry (CKYCR),only for the purpose of verification of my identity and address from the database of CKYCR Registry. PPWB will also validate my KYC information and update the records in CKYCR. I understand that KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

I hereby acknowledge and confirm that I do not provide any advice or recommendations, directly or indirectly, regarding any security or securities, unless I am duly registered with SEBI or otherwise authorized by SEBI. Furthermore, I confirm that I will not make any claims, whether express or implied, regarding the returns or performance of any security or securities, to any person or platform/media, unless expressly permitted by SEBI.

Signature

VOLUNTARY

To,

PhonePe Wealth Broking Private Ltd.
Demat Account No : _____

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

At the 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 PPWB Broking. about change in email address, if any.

In case, the PhonePe Wealth Broking Private is not able to provide bill/transaction statement to its clients by email or on website due to any reason (including bounced emails), PhonePe Wealth Broking Private 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
- [x] As Per SEBI Regulation

Yours Faithfully,

Signature

VOLUNTARY

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL.
[SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

In these Terms and Conditions, the terms shall have following meaning unless indicated otherwise:
Depository means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013 and all its branch offices and includes its successors and assigns.

1. DP means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
2. 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.
3. SMS means Short Messaging Service
4. Alerts means a customized SMS sent to the BO over the said mobile phone number.
5. 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.
6. Service means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

In these Terms and Conditions, the terms shall have following meaning unless indicated otherwise:
Depository means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013 and all its branch offices and includes its successors and assigns.

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 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:

In these Terms and Conditions, the terms shall have following meaning unless indicated otherwise:
Depository means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Marathon Futurex, A-Wing, 25th floor, NM Joshi Marg, Lower Parel, Mumbai 400013 and all its branch offices and includes its successors and assigns.

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. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable)

BOID (Please write your 8 digit DPID)	12096000
Client ID (Please write your 8 digit Client ID)	
Sole / First Holder Name	
Second Holder Name	
Third Holder Name	
Mobile Number on which messages are to be sent (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)	

Date :

Signature

Voluntary: Demat Debit and Pledge Instruction

As per SEBI Circular on Execution of Demat Debit and Pledge Instruction (DDPI) for transfer of securities towards deliveries / settlement obligations, pledging / re-pledging of securities and shall be use for limited purpose as mentioned below.

Purpose	Signature
Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange	
Mutual Fund transactions being executed on Stock Exchange order entry platforms	
Tendering shares in open offers through Stock Exchange platforms	

Note: The DDPI herein referred to is revocable at any time subject to such revocation not being applicable if there is any outstanding settlement obligation arising out of trades carried out in this account prior to receiving a request for revocation of DDPI.

To,

PhonePe Wealth Broking

Subject: Declaration for Confirmation of Signature

Dear Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards PhonePe Wealth Broking Private Limited or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request PhonePe Wealth Broking Private Limited or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards PhonePe Wealth Broking Private Limited or any of its group entities by me/us, I/We will indemnify PhonePe Wealth Broking Private Limited and its directors/employees/agents for all such actions.

Date

Signature

Most Important Terms & Conditions (MITC)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.

2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.

3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.

4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.

5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).

6. You will get a contract note from the stock broker within 24 hours of the trade.

7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.

8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.

9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.

10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature

T&C for RESEARCH SERVICES

“I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014.

I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by Research Analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

I/We understand that –

1. Any investment made based on the recommendations in the research report is subject to market risk. Recommendations in the research report do not provide any assurance of returns.
2. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report.”

Declaration by PhonePe Wealth Broking Private Limited (“PPWB”):

1. PPWB is duly registered with SEBI and Enlisted with BSE RAASB as a Research Analyst (RA) pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration and enlistment details are: (SEBI: INH000013387, BSE Enlistment No:5887, Registered and enlisted on 11 th October, 2023 and 25 th July, 2024 respectively)There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report.”
2. Research Analyst has the necessary registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting.
3. Research Analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject.
4. The recommendations provided by RA do not provide any assurance of returns.

Signature

Most Important Terms and Conditions (“MITC”) for Research Analyst Services

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
2. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
3. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
4. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA’s research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
5. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client’s own judgement and assessment of the conclusions contained in the research report.
6. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
7. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
8. The RA shall never ask for the client’s login credentials and OTPs for the client’s Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.
9. For any grievances,

   Step 1: the client should first contact the RA using the details on its website or following contact details: (RA to provide details as per ‘Grievance Redressal / Escalation Matrix’)

   Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI’s SCORES platform at scores.sebi.gov.in/

   Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

   Investor Charter for RA service

Signature