

# DEPOSITORY SERVICES ACCOUNT OPENING FORM



## AUM CAPITAL

YOUR TRUST IS OUR WEALTH

DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD  
DP ID No. 12057800 • SEBI Regn. No.: IN-DP-CDSL-479-2008

**Head Office:** "Akashdeep", 1st Floor, 5 Lower Rawdon Street  
Kolkata 700 020 • Tel: 033 3058 8462/64/72 • Fax: 033 2289 4073  
Email: [depository@aumcap.com](mailto:depository@aumcap.com), [helpdesk@aumcap.com](mailto:helpdesk@aumcap.com)

Website: [www.aumcap.com](http://www.aumcap.com)



CLIENT NAME : \_\_\_\_\_

BO ID : \_\_\_\_\_

BRANCH NAME : \_\_\_\_\_

INTRODUCER : \_\_\_\_\_



**Instructions for the Applicants/BOs for account opening**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal must attest languages.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, and Tel Number(s), etc., of the Magistrate / Notary Public /Special Executive Magistrate are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexure should be attached to the application form.
5. In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified 1 copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever is not applicable.

**Document Check List**

<b>Individual</b> (All documents should be self attested)	
1. Copy of PAN Card of the individual (mandatory).	<input type="checkbox"/>
2. Proof of Identity: (Any One)	
a) Passport	<input type="checkbox"/>
b) Voter ID Card	<input type="checkbox"/>
c) Driving License	<input type="checkbox"/>
d) PAN Card with Photograph	<input type="checkbox"/>
3. Proof of address: (Any One)	
a) Passport	<input type="checkbox"/>
b) Voter ID Card	<input type="checkbox"/>
c) Driving License	<input type="checkbox"/>
d) Ration Card	<input type="checkbox"/>
e) Bank Passbook (not more than 2 months old)	<input type="checkbox"/>
f) Computer generated Bank Statement duly attested by concerned bank with stamp & signature of the bank official.	<input type="checkbox"/>
g) Original Bank statement (not more than 2 months old) self attested by BO along with cancelled cheque.	<input type="checkbox"/>
h) Electricity bill with bill date not more than 2 month old	<input type="checkbox"/>
i) Residence telephone with bill date not more than 2 month old.	<input type="checkbox"/>
j) Leave & License Agreement.	<input type="checkbox"/>
Note: If correspondence address is different from permanent address, Photocopy of both the addresses should be submitted.	
4. Proof of Bank details: (Any One)	
a) Photocopy of the Bank Statement having name and address of the BO not more than 4 months old.	<input type="checkbox"/>
b) Photocopy of the Passbook having name and address of the BO not more than 4 months old.	<input type="checkbox"/>
c) Original cancelled cheques having the name & account number of the BO (mandatory).	<input type="checkbox"/>
<b>HUF</b> (All documents should be self attested by Karta under the HUF stamp)	
1. All documents, as mentioned above for individual required for Karta	<input type="checkbox"/>
2. PAN Card & Bank Passbook indicating the existence of HUF entity.	<input type="checkbox"/>
<b>Minor</b> (All documents should be attested by Guardian)	
1. PAN Card of the minor	<input type="checkbox"/>
2. Birth Certificate of the minor	<input type="checkbox"/>
3. Proof of address & identity document of the Guardian, as specified above.	<input type="checkbox"/>
4. One passport size photograph of the minor and the guardian with their signature across the photograph.	<input type="checkbox"/>
Guardian should sign across the photograph of the minor	
<b>NRI</b> (All documents as mentioned above for individual)	
1. Proof of foreign address and Indian address (if any).	<input type="checkbox"/>
2. Copy of Passport.	<input type="checkbox"/>
3. NRE & NRO A/c details is required.	<input type="checkbox"/>
4. POA duly notarized.	<input type="checkbox"/>
5. Copy of PAN Card.	<input type="checkbox"/>
6. All the documents as mentioned above for individual investors.	<input type="checkbox"/>
7. FEMA Declaration	<input type="checkbox"/>

## Document Check List

<b>Corporate</b>	
1. Copy of PAN Card of the corporate entity.	<input type="checkbox"/>
2. Certified true copy of Board Resolution as per annexure B	<input type="checkbox"/>
3. Memorandum & Article of Association & Certificate of incorporation of the Corporate.	<input type="checkbox"/>
4. In case of change of Directors, copy of Form 32 is required duly certified by Managing Director.	<input type="checkbox"/>
5. Proof of Bank details: (Any One)	<input type="checkbox"/>
a) Photocopy of the Bank Statement having name and address of the BO not more than 2 months old.	<input type="checkbox"/>
b) Photocopy of the Passbook having name and address of the BO not more than 2 months old .	<input type="checkbox"/>
c) Original cancelled cheque having the name & account number of the BO (mandatory).	<input type="checkbox"/>
6. Names of the authorized signatory (ies), designation, photograph and their specimen signatures duly verified by Managing Director / Company Secretary.	<input type="checkbox"/>
7. Proof of Address: (Any One)	<input type="checkbox"/>
a) Documents registered with registering authority.	<input type="checkbox"/>
b) Bank Statement / Passbook with the seal and signature of the respective bank not more than 2 months old .	<input type="checkbox"/>
c) Original Bank Statement and original cheque leaf duly signed by the authorized signatories not more than 2 months old.	<input type="checkbox"/>
d) Agreement for sale or leave and license agreement.	<input type="checkbox"/>
e) Latest acknowledged copy of Income Tax Return.	<input type="checkbox"/>
8. PAN card, address proof and KYC Form of all signatories/ directors.	<input type="checkbox"/>
<b>Clearing Member</b>	
1) Certified true copy of certificate of Registration with SEBI & all other documents of Corporate Investor.	<input type="checkbox"/>
<b>Societies</b>	
1) Registration Certificate of the society.	<input type="checkbox"/>
2) Bye Law of Regulation of the Societies	<input type="checkbox"/>
<b>Trust</b>	
1. Trust Deed & Rules	<input type="checkbox"/>
2. Certificate of Registration of trust.	<input type="checkbox"/>
<b>FIIIs</b>	
1. True copy of certificate of Registration with SEBI certified by Managing Director/Company Secretary & all other documents of Corporate Investor.	<input type="checkbox"/>
<b>OCBs</b>	
1. RBI Registration Certificate.	<input type="checkbox"/>
2. Declaration from the OCB that it meets with the guidelines issued by the RBI /Ministry of Finance	<input type="checkbox"/>
3. Certificate from overseas auditor in form OAC-1 & all other documents of Corporate Investor.	<input type="checkbox"/>
<b>Mutual Funds</b>	
1. SEBI Registration certificate.	<input type="checkbox"/>

**Know Your Client (KYC)  
Application Form (For Individuals Only)**

Please fill in ENGLISH and in BLOCK LETTERS



Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female

B. Marital status ☐ Single ☐ Married

C. Date of Birth d d / m m / y y y y

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any:

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others

**PHOTOGRAPH**

Please affix the recent passport size photograph and sign across it

**B. Address Details (please see guidelines overleaf)**

1. Address for Correspondence

City / Town / Village

State

Country

Pin Code

2. Contact Details

Tel. (Off.) (ISD) (STD)

Tel. (Res.) (ISD) (STD)

Mobile (ISD) (STD)

Fax (ISD) (STD)

E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village

State

Country

Pin Code

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ \*Latest Bank A/c Statement/Passbook  
☐ \*Latest Telephone Bill (only Land Line) ☐ \*Latest Electricity Bill ☐ \*Latest Gas Bill ☐ Others (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted d d / m m / y y y y

6. Any other information:

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place:

Date:

**SIGNATURE OF APPLICANT**

**FOR OFFICE USE ONLY**

AUM Capital Market Pvt. Ltd.

IPV Done ☐ on d d / m m / y y y y

☐ (Originals verified) Self Certified Document copies received

☐ (Attested) True Copies of documents received

Main Intermediary

AUM Capital Market Pvt. Ltd.

Staff Name

Designation

Date

Signature



Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant  PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph



Name & Signature of the Authorised Signatory(ies)      Date        /        /

**AUM Capital Market Private Limited**

Depository Participant of Central Depository Services (I) Ltd

Head Office: "Akashdeep", 1st Floor  
5, Lower Rawdon Street, Kolkata 700 020  
Tel: 033 3058 8472 / 64 • Fax: 033 2289 4073



DP ID No. 12057800

SEBI Regn. No.: IN-DP-CDSL-479-2008

Email: depository@aumcap.com • Website: www.aumcap.com

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	5	7	8	0	0	Client ID										

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

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

**Holders Details**

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

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

**Type of Account (Please tick whichever is applicable)**

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

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

Guardian's Name											PAN	
Relationship with the applicant												

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> 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')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

I/ We wish to receive dividend / interest directly in to <b>my</b> 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 ]	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN code			

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
 (ii) Photocopy of the Bank Statement having name and address of the BO  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 (iv) Letter from the Bank.  
 ➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

<b>Other Details</b> Gross Annual Income Details	<b>Income Range per annum:</b>									
	<input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to ₹ 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000									
	Net worth as on (Date)	D	D	M	M	Y	Y	Y	Y	Rs
[Net worth should not be older than 1 year]										
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____									
Please tick , if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information:										

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

## Nomination Details

<b>Nomination Registration No.</b>	<b>Dated</b>

I /We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

☐ I/We **do not wish to nominate any one for this demat account.**

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

Full Name of the Nominee							
Address							
City		State					
Country		PIN code					
Telephone No.		Fax No.					
PAN		UID					
E-mail ID							
Relationship with BO (If any)							
Date of birth (mandatory If nominee is a minor)	D	D	M	M	Y	Y	Y

As the nominee is a minor as on date, to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders, I/We appoint following person to act as **Guardian**:


Full name of Guardian of Nominee							
Address							
City		State					
Country		PIN					
Age		Fax No.					
Telephone No.							
E-mail ID							
Relationship of Guardian with Nominee							

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

Note: Two witnesses shall attest signature(s) / thumb impression(s)

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

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP 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.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures 			

**(Signatures should be preferably in black ink).**

**AUM Capital Market Private Limited**

Depository Participant of Central Depository Services (I) Ltd

Head Office: "Akashdeep", 1st Floor  
 5, Lower Rawdon Street, Kolkata 700 020  
 Tel: 033 3058 8472 / 64 • Fax: 033 2289 4073



DP ID No. 12057800

SEBI Regn. No.: IN-DP-CDSL-479-2008

Email: depository@aumcap.com • Website: www.aumcap.com

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.										
DP ID	1	2	0	5	7	8	0	0	Client ID	

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

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

**Holders Details**

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

**Name \***

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

**Type of Account** (Please tick whichever is applicable)

Status				Sub – Status			
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____				<b>To be filled by the DP</b>			
SEBI Registration No. (If Applicable)		SEBI Registration date		D	D	M	M
RBI Registration No. (If Applicable)		RBI Approval date		D	D	M	M
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____						

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> 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')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be Physical)	

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

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	
I / We wish to receive dividend / interest directly in to my bank account 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]		<input type="checkbox"/> Yes <input type="checkbox"/> No	

**Bank Details [Dividend Bank Details]**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____								
Bank Name									
Branch Name									
Bank Branch Address									
City		State		Country		PIN code			


- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
 (ii) Photocopy of the Bank Statement having name and address of the BO  
 (iii) Photocopy of the Passbook having name and address of the BO, (or)  
 (iv) Letter from the Bank.  
 ➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

**Other Details**

Gross Annual Income Details	Income Range per annum:									
	<input type="checkbox"/> Up to Rs 1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs.25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs.1,00,00,000									
	Net worth as on (Date)	D	D	M	M	Y	Y	Y	Y	Rs
[Net worth should not be older than 1 year]										
Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) <input type="checkbox"/> . Please provide details as per Annexure 2.2 A.										
Any other information:										

<b>SMS Alert Facility</b> Refer to Terms & Conditions	MOBILE NO. +91 _____ [(Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).										
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width: 100%;"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
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I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	<b>Sole / First Authorised Signatory</b>	<b>Second Authorised Signatory</b>	<b>Third Authorised Signatory</b>
Name			
Designation			
Signature 			

(Signatures should be preferably in black ink). (In case of more authorised signatories, please add annexure)

**[ For-non-individual]**

### **Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP).**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

<b>Sr.No</b>	<b>Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors</b>	<b>Relation with the holder (i.e. promoters, whole time directors etc</b>	<b>Please tick the relevant option.</b>
			<input type="checkbox"/> <b>PEP</b> <input type="checkbox"/> <b>RPEP</b>
			<input type="checkbox"/> <b>PEP</b> <input type="checkbox"/> <b>RPEP</b>
			<input type="checkbox"/> <b>PEP</b> <input type="checkbox"/> <b>RPEP</b>
			<input type="checkbox"/> <b>PEP</b> <input type="checkbox"/> <b>RPEP</b>
			<input type="checkbox"/> <b>PEP</b> <input type="checkbox"/> <b>RPEP</b>

 **Name & Signature of the Authorised Signatories**

**Date** \_\_\_\_/\_\_\_\_/\_\_\_\_

**PEP:** Politically Exposed Person

**RPEP:** Related to politically Exposed Person

## DECLARATION

From:

Date \_\_\_\_\_

To,

**AUM Capital Market Private Limited,**

5, Lower Rawdon Street

"Akashdeep", 1st Floor

Kolkata- 700 020.

SEBI Registration No. : NSE Cash/INB-231276438, NSE F&O/ INF -231276438, BSE Cash/INB-011276434, IN-DP-CDSL-479-2008

& MSEI-CD: INE261276438

### Ref: Authority to Debit the Trading Account for the Depository Charges

I/We \_\_\_\_\_ having my/our BO

ID \_\_\_\_\_ with AUM Capital Market Pvt. Ltd. and address at \_\_\_\_\_

\_\_\_\_\_ hereby request & authorise Aum Capital Market Pvt. Ltd., as a Depository Participant to debit my Trading account no. \_\_\_\_\_ with Aum Capital Market Pvt. Ltd. for the depository charges.

**SIGNATURE** 

Sole / 1st Holder : \_\_\_\_\_

2nd Holder : \_\_\_\_\_

3rd Holder : \_\_\_\_\_

### FOR OFFICE USE ONLY

Verified by \_\_\_\_\_ Signature \_\_\_\_\_

## EMAIL REGISTRATION

From:

Date \_\_\_\_\_

To,

**AUM Capital Market Private Limited**

5, Lower Rawdon Street

"Akashdeep", 1st Floor

Kolkata- 700 020.

### Re: Beneficial Owner (BO) Account No.12057800 \_\_\_\_\_

I/We \_\_\_\_\_ [name(s) of the BO(s)] had entered into agreement dated \_\_\_\_\_ with you at the time of opening of the aforesaid BO account.

I/We confirm having opted to receive the statement of account and monthly transaction bill pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account and monthly transaction bill.

I/We confirm that the dispatch of statement of account and monthly transaction bill to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account and monthly transaction bill. But, I / We reserve my/our right to receive the physical copy of statement and bill of accounts despite receiving the same in electronics mode, if such a demand is made in writing on you.

[ Email address: \_\_\_\_\_ ]

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch / service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

**Signature** 

\_\_\_\_\_  
First / Sole Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder

## FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE

(To Be obtained on Pre-Printed Letter Head of Firm)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S \_\_\_\_\_  
\_\_\_\_\_. LTD. AND HAVING ITS REGISTERED OFFICE \_\_\_\_\_  
HELD ON DAY \_\_\_\_\_ OF \_\_\_\_\_ 20 \_\_\_\_\_

AT \_\_\_\_\_

Resolved that the Company do agree with M/S. AUM CAPITAL MARKET PVT LTD., Member of the National Stock Exchange of India Ltd. (NSE) and Stock Exchange, Mumbai (BSE) etc. for the purpose of opening a DP A/C & accessing the transactions, dealing on Capital Market Segment, Futures and options segment, Debt segment Or any other segment that may be introduced by NSE/BSE/etc. in future and the said Trading Member be and is hereby authorized to honour instructions, oral or written, given on behalf of the Company by any of the under noted authorized signatories:

Sl.No.	Name	Designation
1.		

Who is / are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through AUM CAPITAL MARKET PVT LTD., on behalf of the company.

Resolved Further THAT Mr.....and/or Mr.....Directors and or Mr.....  
Authorized Signatory of the Company be and are hereby authorized to sign, Execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds As may be deemed necessary or expedient to open account and give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common seal of the Company be affixed, wherever necessary, in the presence of any directors or of the any one director and Company Secretary, who shall sign the same in token of the Presence.

For .....LTD. Chairman/ Company Secretary

Specimen Signatures of the Authorized Persons.

Sl.No.	Name	Specimen Signatures

### AUM CAPITAL MARKET PRIVATE LIMITED

DP ID 12057800

#### Tariff for Depository Services offered by AUM CAPITAL MARKET PVT. LTD.

Category	Maintenance Charges*	Transaction (Sell)	Demat	Remat	Pledge / Unpledge Lending / Borrowing Acceptance / Rejection
Individual	Rs.500/- per financial year	Rs. 15/- per transaction	Rs. 5/- per cert. Min. Rs.100/- per request	Rs.20/- per cert. or Rs.20/- per 100sec. or part qty. which ever is higher.	Pledge service charges like Creation, Closure, etc. will be 0.02% of the value of securities of all type or minimum Rs.35/-
Corporate	Rs.1000/- per financial year			Min Rs.100/- per request	

\*Maintenance charges payable at the time of opening the account for the first year and in April of every subsequent year.

- All statutory charges will be levied separately.
- Power of attorney stamp charges Rs.100/- to be borne by the applicant at the time of A/C opening.
- Non-periodic statements will be charged at Rs.10 for first 5 pages and thereafter Rs 2/- per page
- For weekly statements Rs 50/- will be charged per month which is payable in advance within 10th of every month
- Rs. 20/- for each erroneous/ failed/ rejected transaction.
- Charges will be Rs. 50/- per cheque bounce.
- In case of demat, remat & bill dispatching etc courier charges will be borne by client.
- Demographic details change Rs. 50/- per request (except telephone no.)
- SEBI penalty charges will be reimbursed from CMs on Actuals.
- Non payment of bill after 30 days from the due date will cause withdrawn of depository services for the account.
- Charges are subject to revision at the company's (ACMPL) sole discretion
- Late submission charge for same day Pay-In is Rs.20/- per transaction in addition to transaction charge
- Password reset charge of Rs.20/- per request for Easi & Easiest.
- Cost of Delivery instruction book, containing 20 leaves, except the first one is Rs.20/- which is payable at the time of depositing of Requisition Slip.

Signature 

\_\_\_\_\_  
First / Sole Holder

\_\_\_\_\_  
Second Holder

\_\_\_\_\_  
Third Holder

\*Charges quoted above are for the services listed above. Any services not quoted above will be charged separately.

## **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:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### **Availability:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

### **Receiving Alerts:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.



6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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

**Disclaimer:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not 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

1	2	0	5	7	8	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which  
messages are to be sent

+91											
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_

(Please write only ONE Valid Email ID on which communications, if any, to be sent)

Signatures 

\_\_\_\_\_

Sole / First Holder

\_\_\_\_\_

Second holder

\_\_\_\_\_

Third Holder

Place:

Date:

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

### **General Clause**

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

### **Beneficial Owner information**

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

### **Fees/Charges/Tariff**

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

### **Dematerialization**

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

### **Separate Accounts**

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

### **Transfer of Securities**

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

### **Statement of account**

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

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

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

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

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

### **Liability of the Depository**

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

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

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

### **Redressal of Investor grievance**

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

### **Authorized representative**

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

### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## **Terms And Conditions for availing Transaction Using Secured Texting (TRUST)**

### **Service offered by CDSL**

#### **1. Definitions:**

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
  11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
  12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.

13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.

17. Indemnity:

In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

18. Disclaimer:

Depository shall be absolved of any liability in case:-

- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
- b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
- c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

### POWER OF ATTORNEY

TO ALL TO WHOM THESE PRESENTS SHALL COME, I/WE \_\_\_\_\_  
(name(s) of the BO), residing at / having his / its office / registered office at \_\_\_\_\_ India.

An Indian inhabitant

SEND GREETINGS,

Whereas I/We hold a Beneficiary account no. 12057800 \_\_\_\_\_ (BO ID) Trading Code \_\_\_\_\_ with Aum Capital Market Pvt Ltd bearing DP-ID 12057800, depository participant of Central Depository Services (India) Ltd and Sebi Regn. No. IN-DP-CDSL-479-2008.

And whereas I/we am/are an investor/trader engaged in dealing/desirous of dealing in securities/currency derivatives contracts through Aum Capital Market Pvt Ltd (hereinafter referred to as "ACMPL"), a member of National Stock Exchange of India Limited (NSE) bearing SEBI Regn. No. INB 231276438 for cash segment, INF 231276438 for Derivatives Segment and INE 231276438 for Currency segment, Bombay Stock Exchange Limited (BSE) for Currency Derivatives, SEBI Regn. No. INB 011276434 for Cash segment and Metropolitan Stock Exchange of India Limited (MSEI) having SEBI Regn. No. INE 261276438 (hereinafter referred to as the "Stock Exchanges").

And Whereas I/we am/are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the matter hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE CONSTITUTE AND APPOINT AUM CAPITAL MARKET PVT LTD, a member of Stock Exchanges having its registered office at 5, Lower Rawdon Street, Akashdeep, 1st Floor, Kolkata – 700020 as my/our name to do the following acts, deeds, matters and things namely:

To instruct the aforesaid Depository Participant and to execute following acts, deeds, matters and things namely to debit the aforesaid beneficiary account and/or to transfer/pledge any securities from my/our aforesaid beneficiary account to the Attorney or any account of the Attorney as specified in the Annexure A in accordance with the instruction of the Attorney for my/our obligations/dues including for pay-in/early pay-in and/or for margin in cash and/or Derivative segment and/or any other segment of any Exchange(s) in respect of dealing through the Attorney;

I/We authorize ACMPL to return to me/us the securities that it might have received erroneously from me/us i.e., those securities that ACMPL was not entitled to receive;

I/We authorize ACMPL to send consolidated summary of my/our scrip wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

This power of Attorney shall continue to be in full force and effect until revoked by me /us in writing at any time, without notice and duly communicated to ACMPL. This Power of Attorney shall also be revoked in the event of my death/insolvency and upon receipt of the notification of my death/insolvency from my legal heirs or from a joint holder in case the power is given jointly. Revocation of this Power of Attorney (whether by revocation in writing or by actual notice of death/insolvency/winding up) shall in no way affect the validity of this Power of Attorney, with reference to any transaction initiated by my/our Attorney, prior to the actual receipt by ACMPL the fact of such revocation by me/us in writing or the notice of death/insolvency/winding up as above provided.

All disputes arising out of this Power of Attorney shall be subject to the jurisdiction of the courts in Kolkata (West Bengal).

I /We hereby agree that anything which my/our attorney does in the exercise of the rights and powers granted by me/us under this Power of Attorney shall be solely/jointly binding on me/us.

SIGNED AND DELIVERED By the within named Beneficial Owner

Signature 

\_\_\_\_\_  
1st Holder

\_\_\_\_\_  
2nd Holder

\_\_\_\_\_  
3rd Holder

Name(s)

\_\_\_\_\_  
1st Holder

\_\_\_\_\_  
2nd Holder

\_\_\_\_\_  
3rd Holder



IN THE PRESENCE OF

Name of Witness \_\_\_\_\_ Signature of Witness \_\_\_\_\_

Address of Witness: \_\_\_\_\_

I/We accept \_\_\_\_\_ Date: \_\_\_\_\_ POA ID \_\_\_\_\_

For Aum Capital Market Pvt Ltd

Authorized Signatory

## Annexure – A

### Details of Margin, Pool Accounts of Aum Capital Market Pvt Ltd

D.P.NAME	D.P. ID	CLIENT ID
BSE Pool A/c no.	12057800	00000031
NSE Pool A/c no.	12057800	00000010
Futures & Options Margin A/c no.	12057800	00000103
NSE Margin Accounts no.	12057800	00000082
BSE Margin Account No.	12057800	00000097
Shares Margin a/c	12057800	00000118
MSEI Currency Derivatives segment Account no.	12057800	00004792
NSE Currency Derivatives Segment	12057800	00014737
NSE Security Landing & Borrowing Segment	12057800	00018406
BSE Currency Derivatives Segment	12057800	00019131
NSE EARLY PAY IN A/C	11000011	00017140
BSE EARLY PAY IN A/C	11000010	00019536
NSE SLB EARLY PAY IN A/C	11000023	00000260

Signature 

\_\_\_\_\_  
1st Holder

\_\_\_\_\_  
2nd Holder

\_\_\_\_\_  
3rd Holder

**Signature(s) of Co-Parceners in case of HUF**

\_\_\_\_\_  
1st Holder

\_\_\_\_\_  
2nd Holder

\_\_\_\_\_  
3rd Holder



### Acknowledgement for POA & Rights and Obligations

From:

Name

\_\_\_\_\_

BO ID : **12057800**

\_\_\_\_\_

Address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date of POA executed : \_\_\_\_\_

To,

**Aum Capital Market Pvt Ltd,**

5, Lower Rawdon Street

"Akashdeep", 1st Floor

Kolkata- 700 020.

#### **Sub. : Acknowledgement for receipt of copy for executed Power of Attorney at the time of opening Demat Account**

Dear Sir,

This is with reference to the client Id stated above for Depository Services Account opened in my/our name, I/we acknowledge that I /we have received the copy of Power of Attorney executed at the time of opening Depository Services Account with Aum Capital Market Pvt Ltd.

Thanking you,

Yours truly,

\_\_\_\_\_  
**Client's Signature** 

### Acknowledgement Receipt

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**



**FOR OFFICE USE ONLY**

<b>DETAILS</b>	<b>NAME AND SIGNATURE</b>
Form Checked by:	
Form Approved by:	
Entered into System by:	
Checked in Back Office by:	
DIS Serial No. Issued	..... to .....

**PENDING DOCUMENTS**

<b>S/N.</b>	<b>DOCUMENTS</b>	<b>REASON</b>
1.		
2.		
3.		
4.		
5.		



**Head Office:** 5, Lower Rawdon Street, "Akashdeep", 1st Floor, Kolkata 700 020

**Branch Offices :**

BRANCH	(STD CODE)	PHONE	FAX
AHMEDABAD	(079)	3002 9870	3007 8174
BANGALORE	(080)	4047 6621/22	4047 6629
CHENNAI	(044)	4269 7626, 3290 3821	2858 2616
MUMBAI	(022)	4033 6900	4033 6999
NEW DELHI	(011)	4058 1010	4058 1020
PUNE	(020)	3250 4136	2742 4768
RANCHI	(0651)	6529 3268	