



बैंक ऑफ़ बड़ोदा Bank of Baroda

Central Back Office DP Operations, Baroda Sun Tower, Ground Floor, BKC, Bandra East, Mumbai-400051

Application Form for Opening a Demat Account

Individual NRI Foreign National

CDSL

SOL ID / SR.No.

(To be filled by the Depository Participant)

Table with Application No., DP Internal Reference No., Date, and DP ID fields.

I / We request you to open a Demat Account in my / our name as per the following details: -

Type of Account (Please tick whichever is applicable)

Table with Status and Sub-Status columns for Individual, NRI, and Foreign National.

Sole / First Holder's Details (To be filled by the applicant in BLOCK LETTERS in English)

Large form with fields for First Name, Middle Name, Last Name, Father / Husband Name, Title, Correspondence Address, City, State, Country, PIN, Telephone No., Mobile No., PAN, Fax No., Permanent Address, Date of Birth, Qualification, Nationality, Sex, Occupation, Nature of business, and Financial Details.

## **Joint Holders – Second Holder’s Details**

First Name											
Middle Name											
Last Name											
Father / Husband Name											
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other								Suffix		
Permanent Address (Please attach proof)											
City							State				
Country							PIN				
PAN							Tel. No.				
Date of Birth	D	D	M	M	Y	Y	Y	Y	E-mail ID		
Qualification	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Doctorate <input type="checkbox"/> Professional Degree <input type="checkbox"/> Under High School <input type="checkbox"/> Illiterate <input type="checkbox"/> Others (please specify) .....										
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)										
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female										
Occupation	<b>Service:</b> <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (please specify) -----										
Nature of business: (Products/services provided)											
Financial Details: Income Range per annum:	<input type="checkbox"/> Up to Rs.1,00,000				<input type="checkbox"/> Rs.1,00,001 to Rs.2,00,000						
	<input type="checkbox"/> Rs.2,00,001 to Rs.5,00,000				<input type="checkbox"/> More than Rs.5,00,000						

## **Joint Holders – Third Holder’s Details**

First Name											
Middle Name											
Last Name											
Father / Husband Name											
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other								Suffix		
Permanent Address (Please attach proof)											
City							State				
Country							PIN				
PAN							Tel. No.				
Date of Birth	D	D	M	M	Y	Y	Y	Y	E-mail ID		
Qualification	<input type="checkbox"/> High School <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Doctorate <input type="checkbox"/> Professional Degree <input type="checkbox"/> Under High School <input type="checkbox"/> Illiterate <input type="checkbox"/> Others (please specify).....										
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)										
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female										
Occupation	<b>Service:</b> <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (please specify) -----										
Nature of business: (Products/services provided)											
Financial Details: Income Range per annum:	<input type="checkbox"/> Up to Rs.1,00,000				<input type="checkbox"/> Rs.1,00,001 to Rs.2,00,000						
	<input type="checkbox"/> Rs.2,00,001 to Rs.5,00,000				<input type="checkbox"/> More than Rs.5,00,000						

### **Additional Facility Details:**

<b>SMS Alert Facility</b>	<input type="checkbox"/> YES. MOBILE NO. +91 _____ <b>If yes, please refer to Terms &amp; Conditions given in Annexure-A (give us details thereon duly signed by all account holder/s).</b>	<input type="checkbox"/> NO
<b>easi</b>	<input type="checkbox"/> YES. If yes, please provide us your valid email ID <b>or</b> register yourself for "easi" facility on CDSL's website <a href="http://www.cdslindia.com">www.cdslindia.com</a> and submit your registration form to Branch DP duly signed by account holder/s or contact your Branch DP for details. [Facility through CDSL's website: <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view / print ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> NO

I / We instruct the DP to receive each and every credit in my / our account	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
Do you wish to receive dividend / interest directly in to your bank account given below through ECS?	<input type="checkbox"/> Yes <input type="checkbox"/> No

### **Bank Details [Dividend Bank Details]**

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

- (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 and not more than 4 months old, (or)
  - (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 and it should be self-certified by the BO.

### **For NRIs :-**

<b>I / We hereby declare that we complied with and will continue to comply with the FEMA Regulations and other applicable laws.</b>
<b>I / We also undertake that whenever there is/are change/s in the residential address and or any other information same will be informed immediately to the DP.</b>

Foreign Address										
City		State								
Country		PIN								

### **Details of Guardian (If Sole Account Holder is a Minor)**

First Name										
Middle Name										
Last / Search Name										
Relationship with the applicant										
Correspondence Address										
City		State								
Country		PIN								
Telephone No.	Fax No.			Mobile No.						
PAN				E-mail ID						

I/We have read the terms & conditions DP-BO agreement 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.

	<b>First/Sole Holder</b>	<b>Second Joint Holder</b>	<b>Third Joint Holder</b>
Name			
Signature			
Passport size Photograph	(Please sign across the photograph)	(Please sign across the photograph)	(Please sign across the photograph)

**Note: - Paste latest Colour Photograph/s of Account Holder/s and Sign across the Photograph. (Signature should be preferably in black ink). [In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.]**

**In-Person verification by Branch DP of Bank of Baroda.**

<b>Signature Verified</b>	
<b>Identity of the applicant/s verified and signature/s obtained in my presence.</b>	
Name / Designation / Signature under stamp of the Bank of Baroda with Signature No. / EC No.	
Place:- .....	
Date:- .....	

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

- Signature can be in English or Hindi or any other languages contained in the 8<sup>th</sup> schedule of the Constitution of India. Thumb impressions and signature other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal.
- Signature should be preferably in black ink.
- Any alteration / correction should be authenticated with signature/s of the account holder/s.
- 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.
- In case of applications under a Power of Attorney, the relevant Power of Attorney or the certified and duly notarized copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- NOMINATION is mandatory or dissent signified.**
- Strike off whichever is not applicable.**

===== (Perforated Card) =====

<b>DPID</b>	<b>1</b>	<b>3</b>	<b>0</b>	<b>1</b>	<b>8</b>	<b>7</b>	<b>0</b>	<b>0</b>	<b>CLIENT ID</b>								
	<b>First/Sole Holder</b>			<b>Second Holder</b>			<b>Third Holder</b>										
<b>Name</b>																	
<b>Specimen Signature/s</b>																	

### Agreement Between A Participant And A Person Seeking To Open A Beneficial Owner's Account

This Agreement made and entered into at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, between **Bank of Baroda**, (*description of the legal entity*) having his/its office/registered office at **Baroda**, hereinafter called "**the Participant**" of the One Part; AND Mr./Mrs./Miss/M/s. \_\_\_\_\_, (*description of the legal entity*) having his/ its office/ registered office/ address at \_\_\_\_\_, hereinafter called "**the Beneficial Owner**" of the Other Part.

**WHEREAS** the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below:

**NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:**

#### **General Clause**

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

#### **Fees, Charges and deposits**

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid <sup>1</sup>[*not exceeding 18%*] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

#### **3. Statement of Account**

- 3.1. The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2. It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3. It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronics mode, then the Participant shall be obliged to forward the statement of account only in physical form.

#### **Beneficial Owner shall intimate change of particulars**

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

#### **Depository not liable for claims against Beneficial Owner**

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

#### **Authorised Representative**

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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.

**Closure of Account**

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

**Stamp Duty**

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

**Force Majeure**

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

**Service of Notice**

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

**Arbitration**

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

**Jurisdiction**

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

**Governing Law**

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

**SIGNED AND DELIVERED**

by the within named the Participant **BANK OF BARODA** by the hand of its authorized representative

**SIGNED AND DELIVERED**

by the within named the **Beneficial Owner**

For Bank of Baroda

1<sup>st</sup> Holder .....

2<sup>nd</sup> Holder .....

Branch Manager  
(Signature with stamp of DP Branch Official)

3<sup>rd</sup> Holder .....

**in the presence of**

**in the presence of** \_\_\_\_\_

\_\_\_\_\_  
.....  
(Signature of witness for Bank of Baroda)

.....  
(Signature of Witness for BO)  
\_\_\_\_\_

**Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL****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	3	0	1	8	7	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																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

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

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

(Please write only ONE valid email ID on which communication; if any, is to be sent)

**Signatures**

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

\_\_\_\_\_  
Second holder

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

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

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





# Nomination Form

CDSL

Dear Sir/ Madam,

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

- I / We do not wish to nominate any one for this demat account.**  
**[Strike out what is not applicable.] [Signature of all account holders should be obtained on this form].**
- I/ We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the joint Holders.**

BO Account Details												
DP ID	1	3	0	1	8	7	0	0	Client ID			
Name of the Sole / First Holder												
Name of Second Holder												
Name of Third Holder												

Nominee details					
First Name	Middle Name	Last Name			
Address					
City		State			
Country		PIN			
Telephone No.		E-mail ID			
Relationship with BO (If any)		Date of birth (If nominee is a minor)			

As the nominee is a minor as on date, I/We appoint following person to act as guardian:

First name	Middle name	Last name				
Address						
					Age of guardian	
City		State				
Country		PIN				

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. This nomination is in **accordance with the section 109 A of the companies act, 1956, and shall supersede any prior nomination made by me / us** and also any testamentary document executed by me / us.

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

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

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

(To be filled by DP)

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

For Bank of Baroda

DP Seal

(Authorized Signatory)

======(Please Tear Here)=====

**Acknowledgement**

Received Account Opening form with Nomination details given below:

DP ID	1	3	0	1	8	7	0	0	Client ID			
Name/s of the Account Holder/s												
Name of Nominee / Does not wish to nominate												

Date:

(Branch) Participant Seal

For Bank of Baroda

**LETTER OF AUTHORITY FOR RECOVERY OF BANK CHARGES & ADDITIONAL INFORMATION**

The Asstt. General /Chief /Sr. Branch /Manager,  
Bank of Baroda,  
----- Branch  
-----

**Date:**

Dear Sir/Madam,

**[1] Re: Authority for recovery of Bank's charges in respect of Demat Account.**

I / we hereby irrevocably authorize you to recover various Bank charges such as Commission / Fee / Postage / Annual Maintenance charges / Transaction charges etc. (subject to change from time to time) incidental to maintenance and operations of my / our Demat account **from** my / our following account:

**SB / Current account No.:** \_\_\_\_\_ **MICR No.:** \_\_\_\_\_

maintained with you / maintained with Bank's \_\_\_\_\_ branch.

Further, I / We undertake to maintain sufficient balance at all times to meet the recovery of bank's charges in connection with my/our Demat account. Failure on my/our part to maintain sufficient balance in above savings/current account shall not, however, impair in any way the right of Bank of Baroda from recovery of due charges. In case debit balance is created in my/our above savings/current account due to recovery of bank's charges, I/we authorize the bank to charge interest on debit balance created at the rate prescribed by the bank from time to time.

**[2] Re: Additional Information to be submitted with Demat Account Opening Application Form**

<b>1.</b>	Do you have any other Demat account with any Branch/Branches of <b>Bank of Baroda</b> ? If so please give details:	Name and address of DP:..... ..... DP ID : .....Client Id.....
<b>2.</b>	Do you have any Demat account with <b>any other Bank's DP</b> or any other <b>Depository Participant (DP)</b> ? If so, please give details.	Name and address of DP:..... ..... DP ID : .....Client Id.....

**Yours faithfully,**

<b>S.No.</b>	<b>Name/s of Account Holder/s</b>	<b>Signature Account Holder/s</b>
<b>1</b>		
<b>2</b>		
<b>3</b>		

**Verification by Branch DP of Bank of Baroda.**

<b><u>Signature/s Verified &amp; Instructions Noted.</u></b>	
Name / Designation / Signature under stamp of the Bank of Baroda with Signature No. / EC No.  Place:- .....  Date:- .....	

**BANK OF BARODA**  
**Central Back Office DP Operations (CBODPO)**  
**Baroda Sun Tower, Ground Floor, Bandra Kurla Complex, Bandra (East), Mumbai –400 051.**

<b>DEMAT SERVICE CHARGES (REF: - HO:BR:102:208 DT. 16.12.2010)</b>		
<b>No.</b>	<b>Type of Charges</b>	<b>Revised charges inclusive of Service Tax w.e.f. 15.01.2011</b>
1.	Account Opening / Closing / Custody	NIL
2.	Annual Maintenance Charges (AMC)	<b>For Individuals</b> (For New Accounts) – First Year Free From Second Year Rs.276/- p.a. (For Existing Accounts) – Rs. 276/- p.a. w.e.f. April 2011 <b>For Non-Individuals</b> – Rs.607/- p.a.
3.	Recovery of AMC	a) AMC will be recovered up front on monthly pro-rata basis in new accounts and thereafter on 1 <sup>st</sup> April every year. b) 10% rebate will be given in AMC if customer is paying 3 years AMC in advance.
4.	Transaction Charges (Market & Off Market Sales)	<b>All types of debit transactions including market and off market</b> 0.03% of market value subject to minimum Rs.23/- per transaction. <b>Debt Instruments &amp; Commercial Papers</b> 0.03% of Market value subject to minimum Rs.23/- per transaction.
5.	Demat Charges	Rs.3/- per certificate with minimum of Rs.33/- + Actual Postage / Courier Charges.
6.	Remat / Repurchase Charges	Rs.33/- per ISIN + Actual Postage / Courier Charges.
7.	Demat/Remat Return handling Charges	Rs.33/- per Return. (Share/s returned un-demated / un-remated to branch for any technical reason (Not at Bank's fault) requiring to be resent to Registrar & Transfer Agent / Customer. )
8.	Pledge creation / confirmation / Invocation	Rs.111/- flat per ISIN per request (Including request for invocation of Pledge)
9.	Account Freezing / De-freezing	Rs.56/- per request.
10.	Additional A/c Statement	Rs.23/- per occasion.
11.	Signature Verification or any other certificate issued per ISIN	Rs.56/- per Signature / Certificate
12.	Other Charges	a) Stationery Charges:- A/c Opening Form – NIL (Stamp paper charges to be recovered on actual basis) b) One DIS Booklet of 10 leaves will be provided free of cost at the time of A/c opening and thereafter subsequent DIS will be issued @ Rs.23/- per booklet of 10 pages. c) Change of Address / ECS :- Rs.33/-
13.	Transfer of securities from one DP to another DP consequent to account closure.	Consequent to closure of account, No Charges to be levied, when Beneficiary Owner (BO) transfers all the securities lying in his account to another Branch of the same DP or to another DP of the same depository or another depository, provided the BO Account/s at transferee DP and at transferor DP are one and the same i.e. identical in all respects.
14.	<b>Other Terms &amp; Conditions:</b>	a) The charges are inclusive of Service Tax @ 10.30% and payable upfront. b) Refund of AMC on closure of Demat Account will be on quarterly basis (e.g. if account is closed in the month of July, refund of AMC will be applicable for remaining two quarters i.e. December & March of the financial year) c) The services not listed above will be charged separately. d) Cost of Non-Judicial stamp paper or franking is to be borne by the client. e) All the above charges are applicable uniformly to individuals, non-individuals except that AMC are different for Individuals and Non-Individuals. f) The charges are subject to revision from time to time at Bank's discretion. g) I/We irrevocably authorize you to debit my/our Bank Accounts with Bank of Baroda for your charges from time to time.

\_\_\_\_\_  
Signature of 1<sup>st</sup> Holder

\_\_\_\_\_  
Signature of 2<sup>nd</sup> Holder

\_\_\_\_\_  
Signature of 3<sup>rd</sup> Holder

**Only for HUF Demat Account:**

Dear Sirs,

We, the undersigned, hereby declare that we are the adult members of the Joint Hindu Undivided Family of \_\_\_\_\_ and that \_\_\_\_\_ is the Karta of our joint family and as such Karta he is entitled to deal in connection with the said Joint Hindu Undivided Family without any authority from other members of the family.

We further declare that the business of the said Joint Hindu Undivided Family is carried on mainly by the said Karta \_\_\_\_\_ as also by other members, in the interest and benefit of the said Joint Family.

We also undertake that any claim due to the Bank from the said Joint Hindu Undivided Family shall be recoverable personally from us including the shares of the minors, if any.

**Yours faithfully,**

**Name/s and signature/s of all Adult members of the Hindu Undivided Family:**

- 1. -----
- 2.-----
- 3-----
- 4-----

**Name/s of the Minor Member/s**

- 
- 
- 

**(Signature of Karta with Rubber stamp)**

<b>MANDATORY DOCUMENTS REQUIRED FOR OPENING AN INDIVIDUAL DEMAT ACCOUNT</b>	
<b>All Copies should be self attested by the A/c holder and duly verified with the original under stamp and signature of the DP/ Branch</b>	
a) Account Opening Form (INDIVIDUAL )	
b) Agreement ( Rs.100/- Non-Judicial Stamped paper or franking )	
c) Self attested PAN card copy of all account holders (must be verified with the original under stamp and signature of the DP/Branch Official and validated from Income Tax web site:- <a href="http://incometaxindiaefiling.gov.in">http://incometaxindiaefiling.gov.in</a> )	
d) Additional Photo identity proof if photograph is not matched with PAN card copy.	
e) Self attested Address Proof of all holders (must be verified with the original under stamp and signature of Branch Official)	
f) Self attested copy of MICR cheque or MICR cheque with latest statement of account or pass book copy	
g) <b>Paste latest passport size photograph of all account holders on Account Opening Form and sign across the photograph/s.</b>	
<b>NRI:</b>	All mandatory documents as above
	➤ FEMA Declaration, Indian Correspondence Address & Foreign Address proof and Bank a/c indicating type of a/c as NRE / NRO.
<b>MINOR:</b>	All mandatory documents as above <b>(The minor should be the first and sole holder in the account)</b>
	➤ Copy of Minor's Birth Certificate along with copies of Pan Card of Minor and Guardian with self attestation by the guardian.
	➤ One passport size photograph of Minor and the Guardian with signature of the Guardian across the photographs.
<b>HUF:</b>	All mandatory documents as above
	➤ Pan Card of Karta and declaration giving details of the family members of the HUF with their names.