EVERMORE

STOCK BROKERS PVT LTD

DEMAT
ACCOUNT OPENING FORM

KRA REF NO.		
CKYC NO		
PAN NO.		
BENEFICIARY NAME	**1ST HOLDER**	
	2ND HOLDER	
	3RD HOLDER	
ACCOUNT OPEN DATE		
DEMAT A/C NO.	**12072100**	

ACCOUNT OPENING INDEX

Sr. No.	Name of the Document	Particulars of Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY DEPOSITORY FOR OPENING DEMAT A/C			
1.	Demat Account Opening Form	KYC Form for Individual - Document captures the basic information about the constituent.	1-8
		KYC Form for Non - Individual - Document captures the basic information about the constituent.	9-12
		Document captures the additional information about the constituent relevant to Demat account for individuals	13-17
		Document captures the additional information about the constituent relevant to Demat account for non- individuals	18-20
2.	Demat Rights and Obligations	Rights & Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI& Depositories	21-23
3.	Tariff sheet	Document detailing the rate/amount of charges levied on the client for Demat accounts	24
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER / DP			
4.	Indemnity cum Undertaking	Indemnity cum Undertaking for name discrepancy in Pan Card, Bank Proof and Address Proof	25
5.	Delivery Instruction Slip	Option Form for Issue of DIS Booklet	26
6.	FATCA Declaration	FATCA –CRS Declaration Form	27-30
7.	Financial Status and other Details	Financial Status and other details as per Prevention of Money Laundering Act, 2002 (PMLA)	31-32

Name of Stock Broker:	**EVERMORE STOCK BROKERS PRIVATE LIMITED**
Registered Office:	**UNIT -1-A 15TH FLOOR,TOWER -1 GIFT CITY GANDHINAGAR 382355 GUJARAT**
Corporate Office:	**UNIT NO.003 FIRST FLOOR, RAGHULEELA MEGA MALL OFF.S.V. ROAD KANDIVALI (W) MUMBAI - 400067**
Tel No.	022 – 42229900
Fax No.	022 – 42229988
Email Id:	**cdsl@evermore.in**
Website	**www.evermore.in**
SEBI Registration No.	**IN-DP-270-2016 (Central Depository Services Limited)**
Compliance Officer	Ms. **MADHVI JAIN** Tel No. **9004628285** Email Id: **Compliance@evermore.in**

In case not satisfied with the response, please contact the concerned exchange(s)/ Depository as under

Depository	Email Id	Tel No.
Securities & Exchange Board of India(SEBI)	**sebi@sebi.gov.in**	**022-264499500/40459950**
CentralDepository Services Ltd (CDSL)	**investors@cdslindia.com/ complaints@cdslindia.com**	**022-22728207**

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT – FOR INDIVIDUALS

EVERMORE STOCK BROKERS PRIVATE LIMITED
Regd. office: UNIT -1-A 15TH FLOOR,TOWER -1 GIFT CITY GANDHINAGAR 382355 GUJARAT
Corporate Office: UNIT NO.003 FIRST FLOOR, RAGHULEELA MEGA MALL OFF.S.V. ROAD KANDIVALI (W) MUMBAI - 400067

(To be filled by the Depository Participant)

Application No.									Date							
DP Internal Reference No.																
DP ID	1	2	0	7	2	1	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	
		UCC	
		Exchange Name &ID	
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
❑ Individual	❑ Individual Resident ❑ Individual-Director ❑ Individual Director's Relative ❑ Individual HUF /AOP ❑ Individual Promoter ❑ Minor ❑ Individual Margin Trading A/C (MANTRA) ❑ Others(specify) ________________
❑ NRI	❑ NRI Repatriable❑ NRI Non-Repatriable ❑ NRI Repatriable Promoter ❑ NRI Non-Repatriable Promoter ❑ NRI – Depository Receipts ❑ Others (specify) __________________
❑ Foreign National	❑ Foreign National ❑ Foreign National - Depository Receipts ❑ 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] ❑ Yes ❑ No
I/We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No

Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑Fortnightly ❑Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID:_________________________	❑ Yes ❑ No
I/We would like to share the email ID with the RTA	❑ Yes ❑ No
I/We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
DP Charges	I/We authorize **EVERMORE STOCK BROKERS PRIVATE LIMITED** to debit DP Charges (including Annual Maintenance Charges) to my / our Trading Account.
I/ We wish to receive dividend / interest directly in to **my** bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes ❑ No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code):					
IFS Code (11 character):					
Account number:					
Account type:	❑ Saving ❑ Current ❑ 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:** ❑ Up to Rs.1,00,000 ❑ Rs1,00,000 to Rs 5,00,000 ❑ Rs 5,00,000 to ` 10,00,000 ❑ Rs 10,00,000 to Rs25,00,000 ❑ More than Rs25,00,000	
	Net worth as on (Date)	Rs
	[Net worth should not be older than 1 year]	
Occupation	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retire ❑ Housewife ❑ Student ❑ Others (Specify) ___________________	
Please tick *(if applicable)*:	❑Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)	
Any other information:		

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Jointly	❑ first Holder	❑ Any one of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

❑ **first Holder**	❑ **All Holder**	**Email id**
	Second Holder	
	Third Holder	

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 __ __ __ __ __ __ __ __ __ __ [(Mandatory , if you are giving Power of Attorney (POA/ DDPI)] (if POA/ DDPI is not granted & you do not wish to avail of this facility, cancel this option).	
Easi	**To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.**	
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST	

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

I/We have received & read the Rights and Obligations document 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	✍	✍	✍
Passport size Photograph			

(Signatures should be preferably in black ink).

==

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

1. Signatures can be in English, 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 languages must be attested by a Magistrate or a Notary Public or a special Executive Magistrate/Special Executive Officer under his/her official seal.
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 any attestation done by them.
4. In case of additional signatures(for accounts other than individuals), separate annexures should be attached to the application form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof,must be lodged alongwith the Application.
6. All correspondence/queries shall be addressed to the first/Sole applicant only.
7. Where the holder is a minor, person lawfully entitled to act on behalf of the minor should sign the nomination.
8. Strike off whichever option, in the Account Opening Form, is not applicable.
9. The following documents are to be submitted by the investors:
   - The introduction may not be required if the certified copies of any one of the following document is submitted by th BO for determining the intending BO bonafied: Photocopy of Election ID Card/Passport/Ration Card.
   - Date of Birth Certificate in case of Minors.
   - Proof of NRI Status.
   - Copy of RBI Approval for NRIs
   - One Passport size Photograph of each Account Holder.

10.Bank Proof:

(I) Photocopy of the cancelled cheque having the name of the account hold 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

Annexure-A

Nomination for Demat Account

1. **I / We wish to make nominations [as per details given below]**
   (You can nominate upto 3 persons)

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	Name of the nominee*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is a minor)			

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

☐ Name of the Nominee(s)

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

3. **Optional details of nomination**:

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	% Share of nominee** (equal share if % is not specified)			
2	Mobile of nominee***			
3	Email ID of nominee***			
4	Specify Personal identifier document Aadhaar (last four digit) PAN Driving License Passport			
Any odd lot after division shall be transferred to the first nominee mentioned in the form. * The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.				

4. **Signature:**

Name(s) of holder(s)	**Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	
****If nomination is submitted: **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address. **Physical / offline:** wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.	

Note:

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

Annexure-B

Declaration for Opting-out of Nomination

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

I understand that –

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

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

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

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

	First/Sole Holder or	Second Holder	Third Holder
Name (s)			
Signatures	✍	✍	✍

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression instead of signature.

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

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

Additional information to be obtained along with the SARAL Account Opening Form for Resident Individuals

To be filled by the Depository Participant)

Application No.		Date	
DP ID		Client ID	

Holders Details

Sole / First Holder's Name		UID	
Second Holder's Name		PAN	
		UCC	
		Exchange Name & ID	
		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.	

Status	**Sub – Status**
❑ Individual	❑ Individual Resident

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No
Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID ______________________________	❑ Yes ❑ No
I / We would like to share the email ID with the RTA	❑ Yes ❑ No
/ We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

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

Other Details Gross Annual Income Details	**Income Range per annum:** ❑ Up to Rs.1,00,000 ❑ Rs 1,00,000 to Rs 5,00,000 ❑ Rs 5,00,000 to Rs 10,00,000 ❑ Rs 10,00,000 to Rs 25,00,000 ❑ More than Rs 25,00,000	
	Net worth as on (Date)	Rs -
	[Net worth should not be older than 1 year]	
Occupation	❑ Private / Public Sector ❑ Govt. Service ❑ Business ❑ Professional ❑ Agriculture ❑ Retired ❑ Housewife ❑ Student ❑ Others (Specify) ________________	
Please tick , if applicable:	❑Politically Exposed Person (PEP) ❑ Related to Politically Exposed Person (RPEP)	
Any other information:		
SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	MOBILE NO. +91 __ __ __ __ __ __ __ __ __ __ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
Easi	To register for **e**asi, please visit our website www.cdslindia.com. **E**asi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

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

*** Marked is Mandatory field**

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

============================ **Please Tear Here)** =====================================

Depository Participant Seal and Signature

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

General Clause

1. The Beneficial Owner(BO) and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, 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 (BO) 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 (BO)(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the (BO) 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 (BO) 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 (BO) 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 (BO) as set out in the Tariff Sheet provided by the DP. It may be informed to the (BO) 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 (BO) regarding the same.

Dematerialization

8. The (BO) 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 (BO)s and securities of each (BO) shall be segregated and shall not be mixed up with the securities of other (BO)s and/or DP’s own securities held in dematerialized form.
10. The DP shall not facilitate the (BO) 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, 2018 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 (BO) only on the basis of an order, instruction, direction or mandate duly authorized by the (BO) and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The (BO) reserves the right to give standing instructions regarding the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stockbroker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the (BO) in such form and manner and at such time as agreed with the (BO) and as specified by SEBI/depository in this regard.

15. However, if balance has become Nil during the year, the DP shall send one holding statement annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account. In case of accounts with credit balance but no transactions during the year, half yearly statement of holding for the year shall be sent to the BO through email.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode.. The DP will furnish to the (BO) 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.
17. 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

18. The DP shall have the right to close the demat account of the (BO), for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the (BO) as well as to the Depository. Similarly, the (BO) 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 (BO) shall specify whether the balances in their demat account should be transferred to another demat account of the (BO) held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the (BO), the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of 2 working days as per procedure specified from time to time by the depository incase of no outstanding dues and in case of outstanding dues, shall provide 30 days notice. In case of non-payment of dues, DP shall reject the account closure request and in case the dues are cleared by BO, respective account shall be closed by DP within 2 working days of clearing the dues. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the (BO) or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of (BO) 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 (BO), the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the (BO) 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 (BO) shall have the right to stop processing of instructions of the (BO) till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of the Depositories Act, 1996,
    1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the (BO) due to the negligence of the depository or the participant, the depository shall indemnify such (BO).
    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

23. The (BO) 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.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the (BO)s on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. The DP shall redress all grievances of the (BO) against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the (BO) 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

28. In addition to the specific rights set out in this document, the DP and the (BO) shall be entitled to exercise any other rights which the DP or the (BO) 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.
29. 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 (BO) maintains his/ her account, that may be in force from time to time.
30. The (BO) and the DP shall abide by the arbitration and conciliation procedure prescribed under the Byelaws of the depository and that such procedure shall be applicable to any disputes between the DP and the (BO).
31. 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
32. 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.
33. 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 (BO) 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-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. 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).

BO ID																	

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole/First Holder's Name:

Second Holder's Name :

Third Holder's Name :

+91										

MMobile Number on which messages are to be sent (Please write only the mobile number without prefixing country code or zero)

The mobile Number is registered in the name of :____

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

First Holder	Second Holder	Third Holder

CHARGE STRUCTURE FOR DP CLIENTS

No.	PARTICULARS	Amount in Rs.
1.	**Demat Account Opening** Documentation charges FAX Indemnity Power of Attorney(POA/DDPI) Stamp Duty Charges	 FREE FREE 500/-
2.	**Annual Maintenance**	300/- Individual 800/- CM/Corporates/Others
3.	**Account Closing Charges**	FREE
4.	**Demat**	5/- per Certificate plus Rs. 20/- per request plus courier charges
5.	**Rematerialisation**-per Certificate,(courier charges extra)	15/-per 100/- securities or part thereof or Rs.15/- per certificate whichever is higher.
6.	**Debit Transaction** Market-Off market/Inter Depository Custody Charges	12/-(within Evermore DP) Rs. 18/- Outside Evermore DP FREE
7.	**Pledge** Creation	 12/-PER ISIN
	Invocation Closure	NIL 12/- PER ISIN
8.	**Other Transaction** Late Transaction(Per Transaction) Transmission Nomination Modification of a/c detail Freezing/Defreezing Failed Instruction Additional Statement(Quaterly) Additional Statement(Annually) Cheque Dishonoured charges(Per Instance) Additional DIS Book(per book)	 10/- FREE FREE FREE FREE 10/- 10/- 10/- 10/- 25/-
9.	Easiest/Easi	FREE

Value Of Holding in the demat Account (Debt as well as other than Debt Securities Combineed	Maximum Annual Maintenance Charges
Up to ` 4 lakhs	**NIL**
More than ` 4 lakhs but up to ` 10 lakhs	**RS. 100**
More than ` 10 lakhs	**Not a BSDA. Regular AMC may be levied.**

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

OPTION FORM FOR ISSUE OF DIS BOOKLET – VOLUNTARY

To,
EVERMORE STOCK BROKERS PRIVATE LIMITED
UNIT -1-A 15TH FLOOR,TOWER -1 GIFT CITY GANDHINAGAR 382355 GUJARAT

Sir (s),

Re: Option Form for Issue of DIS Booklet

I / We hereby state that: [Select one of the options given below]

- ❑ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with ____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

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

OR

- ❑ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / registered for eDIS / executed PMS agreement in favour of / with ____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

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

Acknowledgement Receipt

Application No.: **Date:**

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID	1	2	0	7	2	1	0	0	Client ID								

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

Depository Participant Seal and Signature

FATCA DECLARATION - INDIVIDUAL	
NAME OF ACCOUNT HOLDER:	
FATHERS NAME:	
SPOUSE NAME:	
PAN *:	
ADHAR CARD NO: *(optional)*	
CITY OF BIRTH	
COUNTRY OF BIRTH:	
NATIONALITY:	
ADDRESS: (including City, State, Country, & Pin Code)	
POLITICAL EXPOSED PERSON (PEP)	**Yes** ☐ **Related to PEP** ☐ **Not Applicable** ☐

***If PAN is not available, please specify Folio No**

Is your Country of Tax Residency other than India: YES ☐ NO ☐

If 'YES', please specify the details of all countries where you hold tax residency and its Tax residency and its Tax Identification Number & type

Sr. No	Country of Tax Residency #	Tax Payer Identification Number / Functional Equivalent	Identification Type

#to include all the countries other than India, where investor is citizen/ Resident/ Green Card Holder / Tax Resident in those respective countries especially of USA.

DECLARATION:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize **EVERMORE STOCK BROKERS PRIVATE LIMITED** to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to **EVERMORE STOCK BROKERS PRIVATE LIMITED** and its group companies ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators/ tax authorities. I/We authorize **EVERMORE STOCK BROKERS PRIVATE LIMITED** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Place:

Date:

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income- tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA & CRS Instructions

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

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

FATCA & CRS Indicia Observed (Ticked)	**Documentation required for Cure of FATCA/ CRS indicia**
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailing address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States ofAmerica nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
Telephone number in a country other than India	If no Indian telephone number is provided 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below) If Indian telephone number is provided along with a foreign country telephone number 3. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India.

1. List of acceptable documentary evidence needed to establish the residence(s) for tax purposes: Certificate of residence issued by an authorized government body*
2. Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.) * Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

FINANCIAL STATUS

The information is sought under the Prevention of Money Laundering Act, 2002, the rules notified there under and SEBI and Exchange Guidelines issued on Anti Money Laundering:

A. ANNUAL INCOME (Last 3 years from the date of the opening of this account)		
1st Year:		
☐ upto Rs. 1 lac	☐ Rs. 1 lac to Rs. 2 lacs	☐ Rs. 2 lacs to Rs. 5 lacs
☐ Rs.5 lacs to Rs.10 lacs	☐ Rs.10 lacs to Rs. 25 lacs	☐ Rs. 25 lacs to Rs. 50 lacs
☐ Rs.50 lacs to Rs.1 crore	☐ Rs. 1 Crore to Rs. 5 crore	☐ Above Rs. 5 Crore
2nd Year		
☐ upto Rs. 1 lac	☐ Rs. 1 lac to Rs. 2 lacs	☐ Rs. 2 lacs to Rs. 5 lacs
☐ Rs.5 lacs to Rs.10 lacs	☐ Rs.10 lacs to Rs. 25 lacs	☐ Rs. 25 lacs to Rs. 50 lacs
☐ Rs.50 lacs to Rs.1 crore	☐ Rs. 1 Crore to Rs. 5 crore	☐ Above Rs. 5 Crore
3rd Year		
☐ upto Rs. 1 lac	☐ Rs. 1 lac to Rs. 2 lacs	☐ Rs. 2 lacs to Rs. 5 lacs
☐ Rs.5 lacs to Rs.10 lacs	☐ Rs.10 lacs to Rs. 25 lacs	☐ Rs. 25 lacs to Rs. 50 lacs
☐ Rs.50 lacs to Rs.1 crore	☐ Rs. 1 Crore to Rs. 5 crore	☐ Above Rs. 5 Crore
B. NETWORTH DETAILS (as on the date of account opening)		
☐ upto Rs. 1 lac	☐ Rs. 1 lac to Rs. 2 lacs	☐ Rs. 2 lacs to Rs. 5 lacs
☐ Rs.5 lacs to Rs.10 lacs	☐ Rs.10 lacs to Rs. 25 lacs	☐ Rs. 25 lacs to Rs. 50 lacs
☐ Rs.50 lacs to Rs.1 crore	☐ Rs. 1 Crore to Rs. 5 crore	☐ Rs. 5 Crore to Rs. 25 Crore
☐ Above Rs. 25 crore		

Please tick mark the additional applicable category to you

☐ Non resident client
☐ High net-worth client (having annual income + networth of more than `1 crore) ☐
Trust, Charities, NGOs and organizations receiving donations,
☐ Company having close family shareholdings or beneficial ownership ☐
Civil Servant or family member or close relative of civil servant
☐ Bureaucrat or family member or close relative of bureaucrat
☐ Current or Former MP or MLA or MLC or their family member or close relative
☐ Politician or their family member or close relative
☐ Current or Former Head of State or of Governments or their family member or close relative Senior
☐ government/judicial/ military officers or their family member or close relative
☐ Senior executives of state-owned corporations or their family member or close relative ☐
Companies offering foreign exchange offerings
☐ None of the above

I hereby further confirm/undertake that the investments/trading done in securities market are from my own/borrowed sources of funds and I confirm that the funds utilized for trading activity by me is in compliance with the rules, regulations and guidelines stipulated under PMLA.

Place:
Date:

Investor Chartered for Depository Participant (DP)

Vision
Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

Mission

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

Details of business transacted by the Depository and Depository Participant (DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link https://www.cdslindia.com/DP/dplist.aspx

Description of services provided by the Depository through Depository Participants (DP) to investors
(1) Basic Services

Sr No	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion / Destatementization	5 days
4.	Re-conversion / Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	2 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0 day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

(2) Depositories provide special services like pledge, hypothecation, internet based services etc. in addition to their core services and these include

Sr. No	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) b. Transposition cum dematerialization c. Linkages with Clearing System Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly(if no transactions)
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs: a. E-account opening b. Online instructions for execution c. e-DIS / Demat Gateway d. e-CAS facility Miscellaneous services

Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1.	**Investor Complaint/ Grievances**	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a. Electronic mode - • SCORES 2.0 (a web based centralized grievance redressal system f SEBI) Two Level Review for complaint/grievance against DP: - First review done by Designated Body - Second review done by SEBI (i)Respective Depository's web portal dedicated for the filing of compliant (iii) Emails to designated email IDs of Depository - complaints@cdslindia.com b. Offline mode : Investors can send physical letters to CDSL on our registered office address. The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.
2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. SMART ODR -https://smartodr.in/login
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	• Investor to approach Market Participant for redressal of complaint • If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal • Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration • Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. • If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. • During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. • If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. • The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.
4.	**Lodging of Complaints relating to ODR Platform**	Investors may lodge complaints in respect of Online Dispute Resolution ("ODR") Institutions, neutrals (conciliators/arbitrators), or proceedings conducted on the SMART ODR Portal, at their convenience. Complaints can be submitted through written communication or by email, as detailed below: **A. Conciliation Matters (including Conciliators and ODR Institutions)** **By Letter:** Investor Grievance (IG) Department Central Depository Services (India) Limited (at registered office address) **By Email:** cdslig@cdslindia.com **bitration Matters (including Arbitrators and ODR Institutions) By Letter:** Legal Department Central Depository Services (India) Limited (at registered office address) **By Email:** **cdsllegal@cdslindia.com** **odr.legal@cdslindia.com**

5.	**Claim to be filed by Beneficial Owner:**	The Beneficial owner who suffered a loss due to the actions of Depository Participant ("DP")/ Central Depository Services (India) Limited ("CDSL") needs to file their claim with DP/ CDSL along with relevant documents including but not limited to: • Statement of claim • Details of estimated loss (including calculation) and supporting documents • FIR Copy (in case of alleged fraud and infidelity of employee) • Declaration stating that same relief has not been sought before any other fora **The hard copy of the claim is to be addressed to the CDSL Legal Team at the registered office of the Company and the soft copy is to be submitted to the Email ID - claims@cdslindia.com.**
6.	Person with Disabilities (PwDs)	Persons with Disabilities (PwDs), may lodge complaints/grievances against the Depository or Depository Participant (DP) through the following mechanisms: • Respective Depository's web portal dedicated for the filing of compliant • Emails to designated email IDs of Depository pwds@cdslindia.com **Investors can send physical letters to CDSL on our registered office address or can connect with us through our helpline number: 022 6234 3748**

Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

Sr No	Type of special circumstances	Timelines for the Activity/ Service
1.	• Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. • Participant surrenders the participation by its own wish.	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

Dos and Don'ts for Investors: -

Sr No	Guidance
1.	Always deal with a SEBI registered Depository Participant for opening a demat account.
2.	Read all the documents carefully before signing them
3.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
4.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
5.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque
6.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
7.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
8.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
9.	Do not share password of your online trading and demat account with anyone.
10.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
11.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
12.	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
13.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.gov.in/scores/Welcome.html
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
18.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20.	Beware of assured/fixed returns.

Rights of investors

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/ multiple DPs.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and /or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
- Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
- Right to opt out of the Depository system in respect of any security.

Responsibilities of Investors

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades / transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

Code of Conduct for Depositories
(Part D of Third Schedule of SEBI (D & P) regulations, 2018)

A Depository shall

- always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- adopt appropriate due diligence measures.
- take effective measures to ensure implementation of proper risk management framework and good governance practices.
- take appropriate measures towards investor protection and education of investors.
- treat all its applicants/members in a fair and transparent manner.
- promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
- take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
- endeavor for introduction of best business practices amongst itself and its members.
- act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- segregate roles and responsibilities of key management personnel within the depository including
  a. Clearly mapping legal and regulatory duties to the concerned position
  b. Defining delegation of powers to each position
  c. Assigning regulatory, risk management and compliance aspects to business and support teams
- be responsible for the acts or omissions of its employees in respect of the conduct of its business.
- monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

Code of Conduct for Participants

- A participant shall make all efforts to protect the interests of investors.
- A participant shall always endeavour to—
  a. render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
  b. ensure that all professional dealings are effected in a prompt, effective and efficient manner;
  c. inquiries from investors are adequately dealt with;
  d. grievances of investors are redressed without any delay.
- A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
- A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
- A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
- A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
- A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
- A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
- A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
- A participant shall co-operate with the Board as and when required.
- A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
- A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
- A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
- A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
- A participant shall maintain proper inward system for all types of mail received in all forms.
- A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
- A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.
- A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
- A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions
- A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
- A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
- A participant shall ensure that good corporate policies and corporate governance are in place.

ACKNOWLEDGEMENT OF RECEIPT OF COPY OF DEMAT ACCOUNT OPENING FORM

To,

EVERMORE STOCK BROKERS PRIVATE LIMITED

Sir(s),

I/We, ____, have opened demat account in your dp and I/we confirm that I/we have received the welcome letter stating my client Id allotted to me along with a copy of client master / executed client registration documents viz. Client registration form/KYC, Rights & Obligations ,and copy of Investor Charter Beneficial Owner & Depository Participant.

I/We look forward to a mutually beneficial relationship with you.

(Client Sign) Date:

ACKNOWLEDGEMENT OF RECEIPT OF COPY OF DEMAT ACCOUNT OPENING FORM

To,

EVERMORE STOCK BROKERS PRIVATE LIMITED

Sir(s),

Re: Acknowledgement

I/We, ____, have opened demat account in your dp and I/we confirm that I/we have received the welcome letter stating my client Id allotted to me along with a copy of DIS Booklet NO______and client master / executed client registration documents viz. Client registration form/ KYC, Rights & Obligations, Beneficial Owner & Depository Participant.

I/We look forward to a mutually beneficial relationship with you.

(Client Sign)

Date:

Declaration Form for opting out of nomination
[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23,2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date To

EVERMORE STOCK BROKERS PRIVATE LIMITED
UNIT -1-A 15TH FLOOR TOWER -1
GIFT CITY GANDHINAGAR – 382355

DP ID	12072100
Client ID (only for Demat account)	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

Nomination Details

Nomination Registration No.	
Dated	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value ofassets held in the trading / demat account.

Name and Signature of Holder(s)*

	Sole / First Holder (Mr./Ms.)	Second Holder(Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signature			

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature