

Application No. :



MSE Financial Services Ltd.

Member : NSE & BSE Depository Participant : CDSL

” Your Gateway to Prosperity ”

ACCOUNT OPENING FORM Non-Individual

CLIENT NAME : _____

CLIENT CODE : _____

DP ID :

1	3	0	1	7	4	0	0
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CLIENT ID :

0	0						
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BRANCH CODE & NAME : _____

AP / SUB-BROKER SEAL

AP / SUB-BROKER SEAL

INSTRUCTIONS FOR CORPORATE ACCOUNT OPENING

- (i) Certified true copy of Board resolution, duly certified by Managing Director/Company secretary, authorizing opening of Demat account and specifying the name of persons authorized by the Board to operate the said Demat account. The resolution must specify the manner of operations of the account and authority given to the authorized signatories to open and operate the account in COMPANY'S LETTER HEAD – **format attached**
- (ii) Name of the authorized signatory(ies), Designation, Photograph and their specimen signatures duly attested the Managing Director/Company Secretary in COMPANY'S LETTER HEAD . **If one of the director is appointed as Authorised signatory the other director should attest.**
- (iii) Memorandum and Articles of Association & Certificate of Incorporation of the company– **Required Full set** (to be attested in the first and last pages)
- (iv) Certificate of Incorporation.
- (v) Proof of address for company evidenced by documents registered with registering authority or latest bank statement or agreement for sale or leave and license agreement or latest INCOME TAX RETURN with IT Dept acknowledgement.
- (vi) List of Directors in COMPANY'S LETTER HEAD
- (vii) PAN card of the company
- (viii) Photo PAN card of all the authorised signatories
- (ix) Copy of Address proof of all the authorized signatories
- (x) Copy of Photo PAN card and Address proof of all the Directors and Promoters
- (xi) Cancelled cheque Leaf with the Company's name else first page of Bank Passbook.
- (xii) Latest shareholding pattern in Letter head
- (xiii) Copy of last 2 years Balance Sheet (if the company incorporated within the financial year letter from the Company Secretary mentioning the same in Letter Head of the Company)

Important:

- a) All the Directors / Promoters / Authorised Signatories documents to be self attested by themselves.
- b) All the above documents to be attested by Managing Director / Company Secretary / Any one of the Director with Rubber Stamp

**Format for Board Resolution
(to be printed in company's Letter Head)**

Certified true copy of the Board resolution of the Board of Directors of passed at a meeting of the Board held onat the Registered office of the company at..... and duly recorded in the Minute Book of the Company.

“Resolved that a Demat Account for the company be opened with MSE Financial Services Limited, CDSL DP in the name and style of

Further Resolved that Mr./Mrs.....be here by authorized to negotiate the terms and conditions for opening the account and completing the formalities.

“Further resolved that Mr./Mrs./Ms. be individually authorized to operate the account on behalf of the Company.”

“Further resolved that the said resolution be communicated to, by the chairman of the Meeting under the common seal of the Company”.



MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE Depository Participant : CDSL
 Regd. Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018.
 Tel : 044 - 6645 9801 / 9815 / 9822 E-mail : helpdesk@msefsl.com Website : www.msefsl.com

Application No. _____

CLIENT ID : _____

(Please fill in **ENGLISH** and in **BLOCK LETTERS**)

A. IDENTITY DETAILS (Please see guidelines overleaf)

- Name of Applicant** (Please write complete name as per Certificate of Incorporation/ Registration; leaving one box blank between 2 words. Please do not abbreviate the Name)

- Date of Incorporation :** _____ (dd/mm/yyyy) **Place of Incorporation :** _____
- Registration No. (e.g. CIN) :** _____ **Date of Commencement of business :** _____ (dd/mm/yyyy)
- Status** Please tick () Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust/Charities/NGOs
 FI FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others (Please specify) _____
- Permanent Account Number (PAN) (MANDATORY):** _____ Please enclose a duly attested copy of your PAN Card.

B. ADDRESS DETAILS (Please see guidelines overleaf)

- Address for correspondence :** _____
 City/town/village: _____ Pincode: _____ State: _____ Country: _____
- Contact Details:** Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____
 Fax: _____ Email id : _____
- Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & tick () against the document attached**
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____
 * Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)
- Registered Address (if different from above) :** _____
 City/town/village: _____ Pincode: _____ State: _____ Country: _____
- Proof of address submitted to be provided by Applicant. Please submit ANY ONE of the following valid document & tick () against the document attached**
 * Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____
 * Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)

C. OTHER DETAILS (Please see guidelines overleaf)

- Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole time directors :**
 (Please use the Annexure to fill in the details)
- Any other information :** _____

DECLARATION

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

Place : _____ Date : _____

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

S1

S2

AMC Intermediary name OR code _____

FOR OFFICE USE ONLY

MSE FINANCIAL SERVICES LTD.

- (Originals verified) Self Certified Document copies received
 (Attested) True copies of documents received

Main Intermediary

Staff Name : _____

Staff Designation : _____

Signature of the Staff: _____

Date : _____

Stamp /seal

For **MSE FINANCIAL SERVICES LTD.**

Authorised Signatory

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

Name of Applicant : _____

PAN of the Applicant : _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. Promoters, Wholetime directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

S3

Name & Signature of the Authorised Signatory(ies)

Date :

PEP : Politically Exposed Person

RPEP : Related to Politically Exposed Person

	<h1 style="margin: 0;">MSE FINANCIAL SERVICES LTD.</h1> <p style="margin: 0;">Member : NSE & BSE Sebi Regn. No. : INZ000171535 Depository Participant : CDSL Sebi Regn. No. : IN-DP-CDSL-404-2019 Regd. Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018. Tel : 044 - 6645 9801 / 9815 / 9816 / 9822 E-mail : helpdesk@msefsl.com Website : www.msefsl.com</p>
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(To be filled by the Depository Participant)

DP Internal Reference No.										Date											
DP ID	1	3	0	1	7	4	0	0	Client ID	0	0										

(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 the following details :

Holders Details

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

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

Type of Account (Please tick whichever is applicable)

Status		Sub - Status	
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) :		To be filled by the DP	
SEBI Registration No. (If Applicable)		SEBI Registration date	
RBI Registration No. (If Applicable)		RBI Approval date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others(specify) _____		
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')		[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly		

I / We request you to send Electronic Transaction-cum-Holding statement at the email ID :	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

I / We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)
--

I / We would like to receive the Tariff card & Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic
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Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]			<input type="checkbox"/> Yes <input type="checkbox"/> No

S6

Signatures
Sole / First Holder
Second Holder
Third Holder

Third Holder

 Second Holder

 Sole / First Holder

S5

Signatures

Bank Details [Dividend Bank Details]

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

- (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.

Third Holder

OTHER DETAILS Gross Annual Income Details	Income Range per annum:		
	<input type="checkbox"/> Up to Rs.1,00,000	<input type="checkbox"/> Rs.1,00,000 to Rs.5,00,000	<input type="checkbox"/> Rs.5,00,000 to Rs.10,00,000
	<input type="checkbox"/> Rs.10,00,000 to Rs.25,00,000	<input type="checkbox"/> Rs.25,00,000 to Rs.1,00,00,000	<input type="checkbox"/> More than Rs.1,00,00,000
	Net-worth as on (date) _____ (DD/MM/YYYY) Rs. _____ (Net worth should not be older than 1 year)		

Please tick if any of the authorised signatories / Promoters / Partners / karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP). Please provide details as per Annexure 2.2A.

Any other information :

Second 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)] (If POA is not granted & you do not wish to avail of this facility, cancel this option)	
Transactions Using Secured Texting Facility (TRUST), Refer to Terms & 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. <input type="checkbox"/> Yes <input type="checkbox"/> No	
	I/We wish to register the following clearing member Ids under my/our below mentioned BO ID registered for TRUST	
	Stock Exchange Name/ID	Clearing Member Name
		Clearing Member ID (Optional)
Easi	To register for easi , please visit CDSL's website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online.	

I/We have received the document of 'Rights and Obligations of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

Sole / First Holder

Signatures

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures	S8		

(Signatures should be preferably in black ink).

(In case of more authorised signatories, please add annexure)

S7

MSE FINANCIAL SERVICES LTD.
 Regd. office : No. 25, Abhiramapuram 3rd Street, Chennai – 600 018.
 Corp. Office : No. 68, 1st Floor , C.P. Ramasami Road, Chennai - 600 018.

TARIFF CARD FOR BENEFICIARY OWNER ACCOUNT HOLDERS

Description	Tariff (Plus applicable taxes)
ANNUAL MAINTENANCE CHARGES	
Account Opening Charges	NIL
KRA / CKYC Charges	Rs.50/-
Individual/HUF Accounts	Rs.500/-
One Time/Lifetime Time AMC(Only for Trading & POA Clients)	Rs.3500/-
Corporate Accounts	Rs.2500/- per annum (or) Rs.8,000/- for 4 years (Optional)
NRI (NRE & NRO) Accounts	Rs.600/- per annum. 3 years upfront AMC payable
BSDA Accounts	As per SEBI Guidelines
TRANSACTION CHARGES	
Transaction charges for Onetime/Lifetime Amc Clients	Minimum Rs.20/- (or) 0.025% of transaction value whichever is higher, subject to maximum of Rs.10,000/-
Transaction charges for POA Clients	Minimum Rs.25/- (or) 0.030% of transaction value whichever is higher, subject to maximum of Rs.10,000/-
Transaction charges for NON-POA clients	Rs.40/- (or) 0.04 of transaction value whichever is higher, subject to maximum of Rs.10,000/-
Transaction Charges for BSDA Clients	Rs.75/- (or) 0.05% of transaction value whichever is higher, subject to maximum of Rs.10,000/-
OTHER CHARGES	
Dematerialisation Charges	Minimum Rs.125/- per ISIN/Per Scrip up to 10 certificates. Rs.7/- per certificate per ISIN/per Scrip for more than 10 certificates. (***)
Rematerialisation Charges	Rs.125/- per ISIN/Per scrip per certificate per 100 shares(***)
Pledge / Unpledge / Invocation	Rs.25/- per ISIN / Per Scrip
Freeze / Unfreeze	Rs.500/- per instruction (***)
Failed Instruction	Rs.50/- per ISIN/Per Scrip for NON POA Clients
Demat Rejection	Rs.125/- per ISIN/Per Scrip (***)
Account Modification	Rs.125/- per Modification per form (***)
Extra Statement	Minimum Rs.50/- up to 3 pages. Rs.5/- per page above 3 pages
Extra Statement Courier charges	Rs.100/-
Delivery Instruction Book Charges (Hand Delivery)	Rs.75/- per Book
Delivery Instruction Book Courier Charges	Rs.100/- per DIS Book

(***) Including Courier Charges Notes :

1. Annual Maintenance Charges are levied upfront for a period of one year from the date of opening the account.
2. Late transaction charges would be collected for all instruction received after 4 p.m. for same day execution or execution date as pay-in date.
3. All charges will be collected upfront. BO's are requested to maintain sufficient credit balance in demat account in order to avoid non execution of delivery instruction (DIS) / any other instruction(s).
4. Interest @ 18% p.a. will be charged for non- payment of bills.
5. The DP will not be responsible for any claims in case of instruction received late i.e., On the same day for pay-in.
6. MSEFSL reserves the right to change the rates from time to time by giving notice.
7. Any service not covered above will be charged separately.
8. All taxes / levies / cess as applicable.

The above charges exclusive of GST and other levies by Government bodies/ Statutory authority from time to time.Cheque/DD to be issued in favour of “ MSE FINANCIAL SERVICES LTD”.

	Sole/ First Holder	Second Holder	Third Holder
Name			
Signature			

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

Definitions:

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

1. "Depository" means Central Depository (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 - 400 001 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 account holders 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 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 from the 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 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	1	3	0	1	7	4	0	0		0	0						
	(Please write your 8 digit DP ID)								(Please write your 8 digit Client ID)								

Sole/ First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent **+91**

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

The mobile number is registered in the name of: _____

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



Signatures _____ _____ _____
 Sole / First Holder Second Holder Third Holder

Place : _____

BO ID

1	3	0	1	7	4	0	0		0	0						
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(Please write your 8 digit DP ID)

(Please write your 8 digit Client ID)

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

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

Statement of account

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



Signatures



Second Holder



Third Holder

Sole / First Holder

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

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

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

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

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

Signatures	Sole / First Holder	Second Holder	Third Holder
Name(s)	_____	_____	_____

DIGITAL STATEMENT

Date : _____

To,

MSE FINANCIAL SERVICES LTD.

25, Abhiramapuram 3rd Street, Chennai - 600 018.

Reg : Beneficial Owner (BO) Account No.

DPID	1	3	0	1	7	4	0	0	CLIENT ID	0	0						
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I/We _____
[Name(s) of the BO(s)] have confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

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

[E-mail address : _____]

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

Yours faithfully,

	Sole / First Holder	Second Holder	Third Holder
Name			
Signature			

To

MSE FINANCIAL SERVICES LTD.

25, Abhiramapuram 3rd Street, Chennai - 600 018.

Dear Sir,

I / We hereby acknowledge the receipt of duly executed copy of KYC inclusive of Rights & Obligations of BO and DP, Rights & Obligations, RDD, Guidance Note, Policies & Procedure, Tariff sheet and all other documents as executed by me / us.

Yours faithfully,

Signature :

	24 27
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Date : _____

Name of the Client : _____

Client Code : _____

MSE FINANCIAL SERVICES LTD.

Member : NSE & BSE, DEPOSITORY PARTICIPANT : CDSL

SEBI Registration No. INZ000209230

NSE - Cash TM ID : 11169

NSE - F&O CM ID : M51309

BSE - Cash Clearing No. : 246

BSE - Currency Clearing No. : 246

Clearing Member : Globe Capital Markets Ltd.

SEBI Registration No. IN-DP-CDSL-404-2019

(CDSL)
Regd. Office : 25, Abhiramapuram 3rd Street, Chennai - 600 018.

Phone : 044 - 6645 9801 / 9815 / 9816 / 9822

E-mail : helpdesk@msefsl.com / trading@msefsl.com / Demat@msefsl.com

Website : www.msefsl.com **Investor Grievances E-mail** : grievances@msefsl.com

CIN No. : U67110TN2000PLC056075

PAN No. : AACCM3039N

GSTIN : 33AACCM3039N1ZF

Compliance Officer : M. V. Swaminath Phone : 044 - 6645 9818 E-Mail : compliance@msefsl.com

For any grievance / dispute please contact MSE FINANCIAL SERVICES LTD. at the above address or email Id or Phone No.

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

NATIONAL STOCK EXCHANGE OF INDIA LTD.(NSE), Phone : 022 - 2659 8100, Fax : 022 - 2659 8120

E-Mail : ignse@nse.co.in, Chennai Phone : 044 - 6630 9900

BSE LTD.(BSE), Phone : 022 - 2272 1234, Telefax : 022 - 2272 1003

E-Mail : is@bseindia.com, Chennai Phone : 044 - 4206 8475

CENTRAL DEPOSITORY SERVICES (INDIA) LTD. (CDSL),

Phone : 022 - 2272 3333, E-Mail : complaints@cdslindia.com



MSE FINANCIAL SERVICES LTD.

Regd. Office : # 25, Abhiramapuram 3rd Street, Chennai - 600 018.

Tel : 044 - 6645 9801 / 9815 / 9816 / 9822

E-mail : helpdesk@msefsl.com

Website : www.msefsl.com