

## **Escrow Account:**

- KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue).
  - The photographs of the authorized signatory (ies) who would be operating the account.
  - PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system
  - Copy of the Escrow Agreement duly signed by the parties.
  - The escrow account shall be opened in the name and form of < Issuer name> - -operated by- for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Consultants Ltd.
  - The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained.
  - The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.
1. The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained - (on letter pad)
  2. KYC form / KRA details of entity that is opening and operating the account (RTA / Clearing Member / Manager to the Issue). Form attached ✓
  3. Total 2 separate account open 1<sup>st</sup> right issue-operated by RTA and 2<sup>nd</sup> unclaimed operated by company
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4. Form 32 with ROC Acknowledgement  
**(In case name of the Directors are not mentioned in the Article of Association)**
  5. Signature verification required on the debit authorization by Branch Manager
  6. Special Tariff sheet required product head approval
  7. UBO/FATCA declaration
  8. Rs.2000/- cheque favour of “Relitrade Stock Broking Pvt Ltd”

## **1. Unclaimed Securities Suspense Account**

(The Issuer shall furnish a declaration on its letterhead, signed by the authorized signatories, stating that: "We hereby undertake that we will ensure compliance with the provisions of SEBI Circular no. SEBI/CFD/DIL/LA/1 /2009/24/04 dated April 24, 2009 related to the procedure for dealing with unclaimed shares. We further undertake that the said suspense account will only be used for the purpose as specified in the said SEBI circular.")

### **Credits to the demat account:**

Any corporate benefits in terms of securities accruing on such unclaimed shares, shall be credited to such demat suspense account.

### **Debits to the demat account:**

The Issuer shall debit the shares lying in the suspense account and credit the same to the demat account of the allottee to the extent of the allottee's entitlement, after proper verification of the identity/bonafides of the allottee.

## Corporate Beneficiary Account – EQUITY

(Yes/No) Board Resolution on the Letter Head of the Company to open the Demat account with **Relitrade stock broking pvt ltd.** in the name of the “**COMPANY**” with **Name of authorized Signatories, Designations, Specimen Signatures and Mode of Operation** (either Singly or jointly). General format is given at the end of the Application Form.

### ***Check the Clause in the MOA that the Company can invest in Share and Stocks.***

(Yes/No) Board Resolution to be signed by the MD\CS in case of the CDSL Account opening.  
(Yes/No) Certified true copy of MOA and Certificate of Incorporation required- Duly certified by any of the Directors.  
(Yes/No) Copy of PAN Card of the Company required. - Duly certified by any of the Directors.  
(Yes/No) List of directors on company Letterhead  
(Yes/No) **Nature of Business and Annual Turnover** on company Letterhead  
(Yes/No) Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly  
(Yes/No) Photograph, POI, POA, PAN and DIN numbers of whole-time directors/All directors  
(Yes/No) Photo of the authorized signatory/ ies duly pasted and signed across and Certified by the Directors.  
(Yes/No) Form 32 with ROC Acknowledgement

### **(In case name of the Directors are not mentioned in the Article of Association)**

(Yes\No) Address Proof – **Only below mentioned does is taken as address proof.** (any two)

- Form 18 with ROC Acknowledgement.
- Latest IT Return duly acknowledge by IT Dept (E-filing is not acceptable),
- Leave and License agreement or Sale Deed
- Other Bank statement with Signature of Account Holder on the statement and **Original cancelled cheque leaf/cheque leaf copy with ‘Original Seen Verified’** affixed on it along with the bank Statement.
- Utility Bill (Land Line telephone bill and Electricity Bill). (**Not valid in case of CDSL Account**) – Bill date should not be more than two months old from the AOF inward date DPCPU)

### **Debit authorization –**

(Yes/No) Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)  
(Yes/No) Copy of the balance sheet for the last 2 financial years (to be submitted every year)  
(Yes/No) Witness name/signature and address required  
(Yes/No) Signature verification required on the debit authorization by Branch Manager  
(Yes/No) **BANK INTRODUCTION** required as per the NSDL format  
(Yes/No) Specimen copy of Cheque reqd. of Account no. mentioned in the AOF for dividend purpose  
(Yes/No) KYC of the Company, **Nature of Business and Annual Turnover** must be filled up completely in KYC.  
(Yes/No) Witness Signature, name and address required on the DP-Client Agreement.  
(Yes/No) Special Tariff sheet required product head approval  
(Yes/No) Original seen and verified to be done on all the supporting Documents  
(Yes/No) AOF and Application form to be signed under the Rubber seal of the company.  
(Yes/No) Copy of **Net worth Certificate** and Rs.2000/- cheque favour of “Relitrade Stock Broking Pvt Ltd”  
(Yes/No) UBO/FATCA declaration

**In addition to Yes/No, Additional Remarks have been provided for additional rejection please refer both the Rejection reason**

**Note: All Documents Required with Signature & Stamp**