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# ESCROW DEMAT ACCOUNT
# DOCUMENT CHECKLIST

*Physical to Demat Conversion — Company-Managed Escrow*

**Role of Purva Sharegistry in this Account**

Purva Sharegistry (India) Pvt. Ltd. will act solely as the Depository Participant (DP) for this account — opening and maintaining the account with NSDL.

**The Company will operate and manage the escrow account directly through its own authorised signatories using Delivery Instruction Slips (DIS). Purva Sharegistry will not act as Escrow Agent for this account.**

Please arrange and submit the following documents to Purva Sharegistry to open your Escrow Demat Account. **All copies must be self-attested. Originals must be produced for verification.**

## PART A — CORPORATE KYC DOCUMENTS (Required for all account types)

☐ **CKYCR Note (NSDL Master Circular §1.2.9):** Documents submitted as Proof of Identity (POI) and Proof of Address (POA) for Legal Entities must conform to the CKYCR (Central KYC Registry) template for Legal Entities. Certificate of Incorporation and MoA / AoA (Items 3–4 below) serve as POI; a registered office address proof as per the CKYCR template serves as POA.

| ✓ | Sr. | Document / Requirement |
|---|---|---|
| ☐ | **1.** | KYC Application Form<br>*CERSAI format for Legal Entities — duly filled and signed by authorised signatory / Company Secretary* |
| ☐ | **2.** | Account Opening Form<br>*NSDL Form 11 (Non-Individual)* |
| ☐ | **3.** | Certificate of Incorporation<br>*Certified true copy* |
| ☐ | **4.** | Memorandum and Articles of Association<br>*Certified true copy* |
| ☐ | **5.** | Copy of PAN Card of the Company |
| ☐ | **6.** | Balance Sheets & Profit and loss for the last 2 financial years<br>*Self-attested; to be updated annually* |
| ☐ | **7.** | Latest Shareholding Pattern<br>*Certified by Company Secretary / Whole-time Director / MD; updated annually* |
| ☐ | **8.** | Board Resolution authorising opening and operation of the Escrow Demat Account<br>*The resolution should authorise the Company's own officials to operate the account directly — Purva Sharegistry will act only as Depository Participant* |
| ☐ | **9.** | List of Authorised Signatories with specimen signatures and photographs |
| ☐ | **10.** | For each Director / Related Person: Photograph, Proof of Identity, Proof of Address, PAN, DIN<br>*Related persons include directors, promoters, authorised signatories, beneficial owners, POA holders* |

## PART B — PHYSICAL-TO-DEMAT SPECIFIC DOCUMENTS (Company-Managed Escrow)

| ✓ | Sr. | Document / Requirement |
|---|---|---|
| ☐ | 1. | List of physical share certificates proposed for dematerialisation<br>*Mention Folio Numbers, Certificate Numbers, Distinctive Numbers, and quantity of shares for each certificate* |
| ☐ | 2. | Duly filled Demat Request Form (DRF)<br>*Defaced / mutilated original physical certificates to be surrendered along with the DRF; one DRF per ISIN* |
| ☐ | 3. | Board Resolution authorising the dematerialisation of the physical shares and their credit to the Escrow Demat Account<br>*The resolution should also specify the purpose for which the shares are being held in escrow and authorise the company's own signatories to issue DIS for subsequent transfers* |
| ☐ | 4. | Internal Escrow Scheme / Arrangement Document<br>*The document describing the purpose of the escrow and the conditions under which shares will be held and subsequently transferred; this could be an internal board resolution, scheme document, court order, or agreement between the company and its counterparties — required by NSDL §1.3.2* |
| ☐ | 5. | Latest Registered Office address proof of the Company<br>*As per records with the RTA* |
| ☐ | 6. | Executed Depository Participant Agreement<br>*Standard DP-Client Agreement between the Company and Purva Sharegistry; note that Purva Sharegistry will act as DP only and not as Escrow Agent or operator of the account* |
| ☐ | 7. | Bank Account Proof<br>*Any one of: specimen / cancelled cheque (pre-printed), bank statement, bank passbook, or letter from bank — must show Bank Name, Branch Address, IFSC/MICR code, Account Holder Name, and Account Number (NSDL Master Circular §1.1.17)* |
| ☐ | 8. | GST Certificate in India |

### Important Notes

- Purva Sharegistry acts as Depository Participant only. The Company's own authorised signatories will issue all DIS instructions and operate the account directly.
- A copy of the escrow scheme / arrangement document is required by NSDL (§1.3.2) even when the company self-manages the escrow. This should describe the purpose of holding shares in escrow and the conditions for transfer.
- The Board Resolution should explicitly authorise the Company's own officials (by name / designation) to operate the account. No separate escrow management agreement with Purva Sharegistry is required.
- Physical certificates must be defaced (written 'SURRENDERED FOR DEMATERIALISATION') before submission with the DRF.
- One DRF must be submitted per ISIN. All certificates surrendered must be in the name of the account holder.
- PAN is mandatory for the Company and all related persons.
- For queries, write to dp@purvashare.com or call 022-41343265.