nuvama

Nuvama Wealth and Investment Limited

NSDL DEMAT ACCOUNT OPENING KIT

☐ INDIVIDUAL ☐ NON INDIVIDUAL

Client Name	
Client Code	
Form No.	

NUVAMA WEALTH AND INVESTMENT LIMITED

DEMAT ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

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Demat Debit and Pledge Instruction	Demat Debit and Pledge Instruction for Operating Trading and Demat Account
Power of Attorney	Power of Attorney for Operating Trading and Demat Account
Voluntary Authorizations	Consent for various authorisations
NERL/CCRL Account	NERL/CCRL Account Details
SMS and E-mail alerts	Request for SMS and E-mail alerts from Stock Exchange/s and Stock Brokers
SEBI MTF Consent	SEBI Margin Trading Facility for Clients
MFSS Consent	Consent letter for dealing in Mutual Funds on Exchange Platform (BSE Star MF / MFSS)
Central KYC Registry / KRA	Instructions / Check list / Guidelines for filling Individual KYC Application Form

	Mark for Signatures		Mark for Signatures
First Holder	➲	Nominee	✧
Second Holder	➢	Guardian of Nominee	⍓
Third Holder	➔	Authority Signatory	ⓧ

NUVAMA WEALTH AND INVESTMENT LIMITED (NWIL)

DP services offered by Nuvama Wealth and Investment Limited under DP ID : IN303719 and SEBI registration No : IN-DP-656-2021 (DP with NSDL).

Particulars	**Registered Office**	**Correspondence Office**
Address	801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051.	801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051.
Ph: Tel no.	022-40094400	022-40094400
Fax	022-43428609	022-43428609
Website	www.nuvamawealth.com	www.nuvamawealth.com

Particulars	**Compliance Officer details**	**CEO details**
Name	Namita Godbole	Rahul Jain
Ph: Tel no.	040-6637 5211	022-4342 8609
Email ID	nwil.dpcompliance@nuvama.com	nwil.dpcompliance@nuvama.com

For any grievance/dispute please contact Nuvama Wealth and Investment Limited at the above address or email at **DPservicesNWIL@nuvama.com** and Phone no. 18001023335 (Toll free no). In case not satisfied with the response, please contact NSDL on email ID at relations@nsdl.co.in and Phone no (022) 2499 4200

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government / judicial / military officers, senior executives of state owned corporations, important political party officials, etc.

B. PROOF OF LDENTITY (POI): LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specially exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. PROOF OF ADDRESS (POA): LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF ADDRESS: (*DOCUMENTS HAVING AN EXPIRY DATE SHOULD BE VALID ON THE DATE OF SUBMISSION.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinationa Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. EXEMPTIONS/CLARIFICATIONS TO PAN:

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds uptoRs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specially exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C **Proof of Address (POA):** List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinationa Foreign Banks / Gazetted Officer / Notary public/Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc.to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds uptoRs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. Incase of Non-Individuals, additional documents tobe obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • 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) • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly • Copies of the Memorandum and Articles of Association and certificate of incorporation • Copy of the Board Resolution for investment in securities market • Authorised signatories list with specimen signatures
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered partnership firms only) • Copy of partnership deed • Authorised signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Certificate of registration (for registered trust onlyj.Copy of Trust deed • List of trustees certified by managing trustees/CA • Photograph, POI, POA, PAN of Trustees
HUF	• PAN of HUF • Deed of declaration of HUF/List of coparceners • Bank pass-book/bank statement in the name of HUF • Photograph, POI, POA, PAN of Karta
Unincorporated Association or a body of individuals	• Proof of Existence/Constitution document • Resolution of the managing body & Power of Attorney granted to transact business on its behalf • Authorized signatories list with specimen signatures
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Serf-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

NUVAMA WEALTH AND INVESTMENT LIMITED

nuvama

Know Your Client (KYC) **FIRST HOLDER**
Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number :

Application Type* : ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

☐ **1. Identity Details** (please refer guidelines overleaf)

PAN _____

Prefix First Name Middle Name Last Name

Name* (Same as ID proof) _____

Maiden Name* (if any) _____

Father / Spouse's Name* _____

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status * ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

1➲

Residential Status*
Please Tick (✓)

☐ Resident Individual ☐ Non Resident Indian
☐ Foreign National ☐ Person of Indian Origin *

(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)

PHOTO

Signature / Thumb Impression

Sign across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please (✓) Tick)

☐ A - Aadhaar Card XXXXXXXX☐☐☐☐

☐ B - Passport Number ☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ C - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ D - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ E - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ F - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

E-sign of the Client

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A - Aadhaar Card XXXXXXXX

☐ B - Passport Number _____ Expiry Date _____

☐ C - Voter ID Card _____

☐ D - Driving Licence _____ Expiry Date _____

☐ E - NREGA Job Card _____

☐ F - National Population Register Letter _____

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Separate email ID & mobile number declaration - I hereby declare that the below

Mobile number belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Tel (R)* _____ Mobile No.* _____

Tel (O)* _____ Extn* _____ Fax _____

Email ID belong to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

E-mail ID _____

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

I hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Place : _____ Date : _____ Signature of Client 2➲

E-sign of the Client

☐ **5. For Office Use Only**

In-Person Verification (IPV) carried out by*	**Intermediary Details***
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name :
Employee Signature and Stamp	Institution Name and Stamp

E-sign of the Client

This space is intentionally kept blank

FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor) **First Holder**

Details under FATCA and CRS (Please refer to instructions in small Booklet)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name of the accountholder: _____ PAN No: _____

Fathers Name: _____ Spouse's name _____

Aadhaar number (Optional) _____ Nationality _____

City of birth _____ Country of birth _____

Residence address for tax purposes (include City, State, Country & Pin code) _____

_____

_____

Address Type: _____
(a) Residential or Business (b) Residential (c) Business (d) Registered Office

(Note : Permissible documents are: Passport ,Election ID Card, PAN Card , ID Card , Driving License , UIDAI Card , NREGA Job Card and Others)

1. Tax residence declaration – tick any one, as applicable to you:

☐ I am a tax resident of India and not resident of any other country

Or

☐ I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country [#]	**Tax Identification Number** [%]	**Identification Type (TIN or Other%, please specify)**

[#] **To also include USA, where the individual is a citizen/ green card holder of USA**

[%] **In case Tax Identification Number is not available, kindly provide functional equivalent**[$]

Certification

I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA CRS Terms and Conditions below and hereby accept the same.

Signature of Client 3➲

Name: _____

Date: _____/_____/_____ Place: _____

NUVAMA WEALTH AND INVESTMENT LIMITED

nuvama

Know Your Client (KYC)
Application Form (For Individuals Only)

SECOND HOLDER

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number :

Application Type* : ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

☐ **1. Identity Details** (please refer guidelines overleaf)

PAN _____

Prefix First Name Middle Name Last Name

Name* (Same as ID proof) _____

Maiden Name* (if any) _____

Father / Spouse's Name* _____

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status * ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* Please Tick (✓)
☐ Resident Individual ☐ Non Resident Indian
☐ Foreign National ☐ Person of Indian Origin *

(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)

1 ➢

PHOTO

Signature / Thumb Impression

Sign across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please (✓) Tick)

☐ A - Aadhaar Card XXXXXXXX☐☐☐☐

☐ B - Passport Number ☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ C - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ D - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ E - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ F - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

E-sign of the Client

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A - Aadhaar Card XXXXXXXX

☐ B - Passport Number _____ Expiry Date _____

☐ C - Voter ID Card _____

☐ D - Driving Licence _____ Expiry Date _____

☐ E - NREGA Job Card _____

☐ F - National Population Register Letter _____

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Separate email ID & mobile number declaration - I hereby declare that the below

Mobile number belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Tel (R)* _____ Mobile No.* _____

Tel (O)* _____ Extn* _____ Fax _____

Email ID belong to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

E-mail ID _____

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

I hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Place : _____ Date : _____ Signature of Client 2➢

E-sign of the Client

☐ **5. For Office Use Only**

In-Person Verification (IPV) carried out by*	**Intermediary Details***
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name :
Employee Signature and Stamp	Institution Name and Stamp

E-sign of the Client

This space is intentionally kept blank

FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor) **Second Holder**

Details under FATCA and CRS (Please refer to instructions in small Booklet)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name of the accountholder: _____ PAN No: _____

Fathers Name: _____ Spouse's name _____

Aadhaar number (Optional) _____ Nationality _____

City of birth _____ Country of birth _____

Residence address for tax purposes (include City, State, Country & Pin code) _____

_____

_____

Address Type: _____
(a) Residential or Business (b) Residential (c) Business (d) Registered Office

(Note : Permissible documents are: Passport ,Election ID Card, PAN Card , ID Card , Driving License , UIDAI Card , NREGA Job Card and Others)

1. Tax residence declaration – tick any one, as applicable to you:

☐ I am a tax resident of India and not resident of any other country

Or

☐ I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country [#]	**Tax Identification Number** [%]	**Identification Type (TIN or Other%, please specify)**

[#] **To also include USA, where the individual is a citizen/ green card holder of USA**

[%] **In case Tax Identification Number is not available, kindly provide functional equivalent**[$]

Certification

I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA CRS Terms and Conditions below and hereby accept the same.

Signature of Client 3➢

Name: _____

Date: _____/_____/_____ Place: _____

NUVAMA WEALTH AND INVESTMENT LIMITED

nuvama

Know Your Client (KYC) **THIRD HOLDER**
Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters
Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number :

Application Type* : ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

☐ **1. Identity Details** (please refer guidelines overleaf)

PAN _____

Prefix First Name Middle Name Last Name

Name* (Same as ID proof) _____

Maiden Name* (if any) _____

Father / Spouse's Name* _____

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status * ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* Please Tick (✓)
☐ Resident Individual ☐ Non Resident Indian
☐ Foreign National ☐ Person of Indian Origin *

(Passport mandatory for NRIs and Foreign Nationals.
PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)

1 ➔

PHOTO

Signature / Thumb Impression

Sign across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please (✓) Tick)

☐ A - Aadhaar Card XXXXXXXX☐☐☐☐

☐ B - Passport Number ☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ C - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ D - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Expiry Date ☐☐☐☐☐☐☐☐

☐ E - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ F - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

E-sign of the Client

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City / Town / Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A - Aadhaar Card XXXXXXXX

☐ B - Passport Number _____ Expiry Date _____

☐ C - Voter ID Card _____

☐ D - Driving Licence _____ Expiry Date _____

☐ E - NREGA Job Card _____

☐ F - National Population Register Letter _____

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Separate email ID & mobile number declaration - I hereby declare that the below

Mobile number belongs to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

Tel (R)* _____ Mobile No.* _____

Tel (O)* _____ Extn* _____ Fax _____

Email ID belong to ☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Children

E-mail ID _____

4. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

I hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Place : _____ Date : _____ Signature of Client 2 ➔

E-sign of the Client

☐ **5. For Office Use Only**

In-Person Verification (IPV) carried out by*	**Intermediary Details***
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name :
Employee Signature and Stamp	Institution Name and Stamp

E-sign of the Client

This space is intentionally kept blank

FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor) — Third Holder

Details under FATCA and CRS (Please refer to instructions in small Booklet)

(Please consult your professional tax advisor for further guidance on your tax residency, if required)

Name of the accountholder: _____ PAN No: _____

Fathers Name: _____ Spouse's name _____

Aadhaar number (Optional) _____ Nationality _____

City of birth _____ Country of birth _____

Residence address for tax purposes (include City, State, Country & Pin code) _____

_____

_____

Address Type: _____
(a) Residential or Business (b) Residential (c) Business (d) Registered Office

(Note : Permissible documents are: Passport ,Election ID Card, PAN Card , ID Card , Driving License , UIDAI Card , NREGA Job Card and Others)

1. Tax residence declaration – tick any one, as applicable to you:

☐ I am a tax resident of India and not resident of any other country

Or

☐ I am a tax resident of the country/ies mentioned in the table below

Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID Number below:

Country [#]	Tax Identification Number [%]	Identification Type (TIN or Other%, please specify)

[#] To also include USA, where the individual is a citizen/ green card holder of USA

[%] In case Tax Identification Number is not available, kindly provide functional equivalent[$]

Certification

I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA CRS Terms and Conditions below and hereby accept the same.

Signature of Client **3 ➔**

Name: _____

Date: _____/_____/_____ Place: _____

A Clarification / Guidelines on filling 'Personal Details' section

1 **Name:** The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 **One the following is mandatory:** Mother's name, Spouse's name, Father's name.

B Clarification / Guidelines on filling 'Current Address Details' section

1 In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR.

2 PoA to be submitted only if the submitted PoI does not have current address or address as per PoI is invalid or not force.

3 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.

4 In Section 2, one of I, II and III is to be selected, In case of online E-KYC authentication, II is to be selected.

5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.

6 List of documents for 'Deemed Proof of Address'.

Document Code	Description
01	Utility bill which is not more than two months old or any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with employers allotting official accommodation.

7 Regulated Entity (RE) shall redact (first 8 digits) or the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.

9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client wants to provide a current address different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

1 Please mention two digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).

2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

1 Provided KYC number of related person, if available.

E Clarification on Minor

1 Guardian details are optional for minors above 10 years of age for opening of bank account only.

2 However, in case guardian details are available for minor above 10 years of age, the same (CKYCR number of guardian) is to be uploaded.

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certifi-cate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public func-tions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Depart-ments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Insti-tutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government de-partments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apos-tilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral devel-opment financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card de-tails with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

Past Actions

Details of any action taken / proceedings initiated / pending including but not limited to debarment / blacklisting / de-registering / name strike off from ROC records / declaring defaulter / monetary penalty / adverse arbitration award by SEBI / Stock exchange / adverse action by Government Authority / Statutory Authority / MCA or any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized signatories in charge of dealing in securities:

☐ Yes ☐ No If yes, provide details: _____

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individual

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YVYY format.
D) Please fill the form in Englsih and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end .
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update/Modification

KYC Number _____ *(Mandatory for KYC update request)*

☐ 1. ENTITY DETAILS* (Please refer instruction A at the end)

☐ Name _____

Entity Conatitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* _____ Date of Commencement of Business _____

Place of Incorporation / Formation* _____ Country of Incorporation / Formation* ☐☐ TIN or Equivalent Issuing Country ☐☐

PAN* _____ ☐ Form 60 furnished Registration No. (e.g. CIN) ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

TIN / GST Registration No. _____

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction B at the end)

☐ Officially valid document(s) in receipt of person authorised to transact ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

☐ Certificate of Incorporation / Formation _____ ☐ Registration Certificate No. _____

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please refer instruction C at the end)

☐ 3.1 Registered Office Address / Place of business / Correspondence Address

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document _____

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* ☐☐☐☐☐☐ State* _____ Country* _____

☐ 3.2 Local Address in the India (if different from Above)* / Permanent Address

☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other document _____

☐ Latest Telephone Bill* (Landline Only) ☐ Latest Electricity Bill* ☐ Latest Bank Account Statement*

☐ Registered Lease / Sale Agreement of Office Premises Validity / Expiry Date of POA (Expiry Date) _____

☐ Any other proof of address document (as listed overleaf) _____

4. CONTACT DETAILS (IN CAPITAL) (All communications will be sent to Mobile number / Email ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off) _____ Fax _____

Mobile _____ Email ID _____

Mobile _____ Email ID _____

5. NUMBER OF RELATED PERSONS Please refer insruction E at the end)

Tel. (Off) _____ Fax _____

Mobile _____ Email ID _____

Mobile _____ Email ID _____

6. REMARKS (if any)

_____

_____

7. APPLICANT DECLARATION (Please refer instruction G at the end)

- I/We hereby declare that the details fumished 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 are aware that I/We may be held liable for it.
- I /We hereby consent to receiving information from Central KYC Registry and/or KRA through SMS/Email on the above registered number/email address.
- I/We hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Date : _____

Place : _____

AS

Authorised Signtory

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ E-KYC code received from UIDAI
- ☐ Date received from Offline verification
- ☐ Digital KYC Process
- ☐ Equivalent e-document

INSTITUTION DETAILS

Name **NUVAMA WEALTH AND INVESTMENT LIMITED**

Code | I | N | 1 | 2 | 5 | 6 |

(Institution Stamp)

☐ Originals verified and Self attested / certified Document copies received

Details	KYC Verification & Documents verified with original carried out by	Client Interviewed By	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YVYY format.
D) Please fill the form in Englsih and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end .
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update/Modification

KYC Number _____ *(Mandatory for KYC update request)*

Note :- Incase of additional related persons (Director, partner, promoters, trustee, authorized signatory, etc.), kindly attach Annexure A2 for each.

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KRA Identifier: _____ KYC Number of Related Person (if available*) _____

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor

☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify) _____

DIN (Director Identification Number) _____ *(Mandatory if Related Person Type is Director)*

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name				

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* _____ ☐ Form 60 furnished

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number ☐☐☐☐☐☐☐☐
- ☐ B - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ C - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ D - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐
- ☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐

II ☐ E - E-KYC Authentication XXXXXXXX☐☐☐☐

- ☐ Z - Others _____ (any document notified by Central Government) Identification Number _____

AS

Authorised Signtory

PHOTO

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* ☐☐☐☐☐☐ State _____ Country _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number
- ☐ B - Voter ID Card
- ☐ C - Driving Licence
- ☐ D - NREGA Job Card
- ☐ E - National Population Register Letter
- ☐ F - Proof of Possession of Aadhar XXXXXXXX
- ☐ Z - Others _____ (any document notified by Central Government) Identification Number _____

II ☐ E - E-KYC Authentication XXXXXXXX

III ☐ F - Offline verification of Aadhaar XXXXXXXX

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* _____ State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

1.4 CONTACT DETAILS (All communication will be sent on providad mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) _____ Tel. (Res.) _____ Mobile _____

Email ID _____

2. APPLICANT DECLARATION

- I hereby declare that the details fumished 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 are aware that I / We may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry and /or KRA through SMS/Email on the above registered number / email address.
- I hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Date : _____

Place : _____

AS

Authorised Signtory

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ E-KYC code received from UIDAI
- ☐ Date received from Offline verification
- ☐ Digital KYC Process
- ☐ Equivalent e-document

INSTITUTION DETAILS

Name **NUVAMA WEALTH AND INVESTMENT LIMITED**

Code I N 1 2 5 6

(Institution Stamp)

☐ Originals verified and Self attested / certified Document copies received

Details	KYC Verification & Documents verified with original carried out by	Client Interviewed By	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YVYY format.
D) Please fill the form in Englsih and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end .
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update/Modification

KYC Number _____ *(Mandatory for KYC update request)*

Note :- Incase of additional related persons (Director, partner, promoters, trustee, authorized signatory, etc.), kindly attach Annexure A2 for each.

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KRA Identifier: _____ KYC Number of Related Person (if available*) _____

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor

☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify) _____

DIN (Director Identification Number) _____ *(Mandatory if Related Person Type is Director)*

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name				

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* _____ ☐ Form 60 furnished

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A - Passport Number ☐☐☐☐☐☐☐☐
☐ B - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ C - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ D - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐
☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐
☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐
II ☐ E - E-KYC Authentication XXXXXXXX☐☐☐☐
☐ Z - Others _____ (any document notified by Central Government) Identification Number _____

AS

Authorised Signtory

PHOTO

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* ☐☐☐☐☐☐ State _____ Country _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

1.3 CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number
- ☐ B - Voter ID Card
- ☐ C - Driving Licence
- ☐ D - NREGA Job Card
- ☐ E - National Population Register Letter
- ☐ F - Proof of Possession of Aadhar XXXXXXXX
- ☐ Z - Others _____ (any document notified by Central Government) Identification Number _____

II ☐ E - E-KYC Authentication XXXXXXXX

III ☐ F - Offline verification of Aadhaar XXXXXXXX

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* _____ State* _____ Country* _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

1.4 CONTACT DETAILS (All communication will be sent on providad mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) _____ Tel. (Res.) _____ Mobile _____

Email ID _____

2. APPLICANT DECLARATION

- I hereby declare that the details fumished 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 are aware that I / We may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry and /or KRA through SMS/Email on the above registered number / email address.
- I hereby give consent to download/fetch my records/details from CKYCR/KRA to Nuvama Wealth and Investment Limited, for the purposes of establishing an account-based relationship/modification of the existing records.

Date : _____

Place : _____

AS

Authorised Signtory

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies
- ☐ E-KYC code received from UIDAI
- ☐ Date received from Offline verification
- ☐ Digital KYC Process
- ☐ Equivalent e-document

INSTITUTION DETAILS

Name **NUVAMA WEALTH AND INVESTMENT LIMITED**

Code I N 1 2 5 6

(Institution Stamp)

☐ Originals verified and Self attested / certified Document copies received

Details	KYC Verification & Documents verified with original carried out by	Client Interviewed By	In person Verification done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick (✓) wherever applicable.
C) Please fill the date in DD-MM-YVYY format.
D) Please fill the form in Englsih and in BLOCK letters.
E) KYC number of applicant in mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instructions at the end .
I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only
(To be filled by financial institution)

Application Type* ☐ New ☐ Update/Modification

KYC Number _____ *(Mandatory for KYC update request)*

Note :- Incase of additional related persons (Director, partner, promoters, trustee, authorized signatory, etc.), kindly attach Annexure A2 for each.

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KRA Identifier: _____ KYC Number of Related Person (if available*) _____

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor

☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify) _____

DIN (Director Identification Number) _____ *(Mandatory if Related Person Type is Director)*

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name*				
Mother Name				

Date of Birth* _____

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* _____ ☐ Form 60 furnished

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A - Passport Number ☐☐☐☐☐☐☐☐
- ☐ B - Voter ID Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ C - Driving Licence ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ D - NREGA Job Card ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ E - National Population Register Letter ☐☐☐☐☐☐☐☐☐☐☐☐
- ☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐
- ☐ F - Proof of Possession of Aadhar XXXXXXXX☐☐☐☐

II ☐ E - E-KYC Authentication XXXXXXXX☐☐☐☐

- ☐ Z - Others _____ (any document notified by Central Government) Identification Number _____

AS

Authorised Signtory

PHOTO

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village _____

District* _____ Pin / Post Code* ☐☐☐☐☐☐ State _____ Country _____

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

PART - II

ACCOUNT OPENING FORM - (FOR INDIVIDUALS)

nuvama

NUVAMA WEALTH AND INVESTMENT LIMITED 801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051. **DP ID : IN303719**	**Client-ID** (To be filled by Participant)

I/We request you to open a depository account in my/our name as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

Date

A) Details of Account holder(s)

Account holder(s)	Sole/First Holder		Second Holder		Third Holder	
Name						
PAN						
Occupation *(please tick any one and give brief details)*	☐ Private Sector	☐ Agriculturist	☐ Private Sector	☐ Agriculturist	☐ Private Sector	☐ Agriculturist
	☐ Public Sector	☐ Retired	☐ Public Sector	☐ Retired	☐ Public Sector	☐ Retired
	☐ Government Service	☐ Housewife	☐ Government Service	☐ Housewife	☐ Government Service	☐ Housewife
	☐ Business	☐ Student	☐ Business	☐ Student	☐ Business	☐ Student
	☐ Professional	☐ Others (Please specify;_____)	☐ Professional	☐ Others (Please specify;_____)	☐ Professional	☐ Others (Please specify;_____)
Brief details:						

B) For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural person, the name & PAN of the HUF, Association of Person (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

a) Name | b) PAN

C) **Type of Account**

☐ Ordinary Resident ☐ NRI-Repatriable ☐ NRI-Non Repatriable
☐ Qualified Foreign Investor ☐ Foreign National
☐ Margin ☐ Others (Please specify)_____ ☐ Promoter

(Note; In case you meet the following conditions the account will be opened under Basic Services Demat Account:
1. The individual has or proposes to have only one demat account where he/she is the sole or first holder
2. The individual shall have only one BSDA in his/her name across all depositories
3. Value of securities held in the demat account shall not exceed Rs. 10 Lakhs for debt and other than debt securities

D) **Gross Annual Income Details**

Income Range per annum (please tick any one)

☐ Below ₹ 1 lakh ☐ ₹ 1 lakh to 5 lakh ☐ ₹ 5 lakh to 25 lakhs
☐ ₹ 25 lakhs to 50 lakhs ☐ ₹ 50 lakhs to 1 crore ☐ ₹ 1 crore to 5 crore ☐ Above ₹ 5 crore

E) **In case of NRIs/Foreign Nationals**

RBI Approval Reference Number

RBI Approval date (D D M M Y Y Y Y)

F) **Bank details**

1	Bank account type	☐ Saving Account ☐ Current Account ☐ Others (Please specify)_____
2	Bank Account Number	
3	Bank Name	

	4	Branch Address																	
			City/town/village									PIN Code							
			State									Country							
	5	MICR Code																	
	6	IFSC																	

G)	Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ None	
H)	**Standing Instructions**	
	1	I/We authorise you to receive credits automatically into my/our Demat/Bank account. ☐ Yes ☐ No
	2	SMS Alert facility : [Mandatory if you are giving Power of Attorney (POA)/DDPI', Ensure that the mobile number is provided in the KYC Application Form]

Sr. No.	Holder	Yes	No
1	Sole/First Holder	☐	☐
2	Second Holder	☐	☐
3	Third Holder	☐	☐

3	**Mode of receiving Statement of Account** *[Tick any one]*	☐ Physical Form ☐ Electronic Form [*Read Note 4 and ensure that email ID is provided in KYC Application Form].*
4	Do you wish to receive divided / interest directly in to your bank account given below through ECS? (If not marked, the default option will be 'Yes;) [ECS is mandatory for locations notified by SEBI from to time]	☐ Yes ☐ No
5	Account to be operated through Demat Debit and Pledge Instruction (DDPI)	☐ Yes ☐ No
6	For Joint accounts, communication to be sent to (Note: In case if 'first holder' is selected, the communication will be sent as per the preference mentioned. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected)	☐ First Holder ☐ All Joint Account Holders
7	Mode of Operations for Joint Accounts (Note: If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities	☐ Jointly ☐ Anyone of the Holder or Survivor(s)
8	*I wish to opt out of the Basic Services Demat Account (BSDA)	☐ Yes ☐ No

I) **Guardian Details** (where sole holder is a minor):
[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name _____

PAN _____

Relationship of guardian with minor _____

NOMINATION FORM

Date	D	D	M	M	Y	Y	Y	Y

UCC		DP ID		Client ID	
First Holder Name					
Second Holder Name					
Third Holder Name					

I undersigned, wish to opt for the below one option provided by Nuvama Wealth and Investment Limited

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio 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 account / folio 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.	[ ]
I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *	[ ]

Nomination Details

	Mandatory Details			**Optional Details**				
	Name of Nominee	**Relation-ship**	**Date of Birth (to be provided in case the nominee is a minor)**	**% Share of nominee****	**Mobile of nominee*****	**Email ID of nominee*****	**Identity Number*****	**Name of Guardian (mandatory in case of minor)**
Nominee 1							☐ PAN ☐ Aadhar (last 4 digits) ☐ Driving license ☐ Passport _____ _____	
Nominee 2							☐ PAN ☐ Aadhar (last 4 digits) ☐ Driving license ☐ Passport _____ _____	

Nominee 3							☐ PAN ☐ Aadhar (last 4 digits) ☐ Driving license ☐ Passport _____ _____	

4➲ Signature of First Applicant	4➢ Signature of Second Applicant	4➔ Signature of Third Applicant
W Signature of Witness 1	W Signature of Witness 2	W Signature of Witness 3

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

**If % is not specified, then assets shall be distributed equally amongst all nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form.

***The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

I / We want the details of my / our nominee to be printed in the periodic statement of holding or statement of account, provided to me/us by the AMC / DP as follows; (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes / No

This space is intentionally kept blank

PART - II
ACCOUNT OPENING FORM
(FOR NON-INDIVIDUALS)

nuvama

NUVAMA WEALTH AND INVESTMENT LIMITED 801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051. **DP ID : IN303719**	**Client-ID** (To be filled by Participant)

I/We request you to open a depository account in my/our name as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

Date

A) Details of Account holder(s)

	Name	**PAN**
Sole/First Holder		
Second Holder		
Third Holder		

B) **Type of account**

☐ Body Corporate ☐ FI ☐ FII ☐ Other (Please specify_____)
☐ Qualified Foreign Investor ☐ Mutual Fund ☐ Trust
☐ Bank ☐ CM ☐ HUF

C) For Partnership Firm, Unregistered Trust, Association of nPersons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Person (AOP) etc. should be mentioned below:

a) Name		a) PAN	

D) Income Details (please specify)

Income Range per annum		Networth
☐ Below ₹ 20 lakhs	and	Amount ₹ _____
☐ ₹ 20 lakhs to 50 lakhs		As on (date)
☐ ₹ 50 lakhs to 1 crore		(Networth should not be older than 1 year)
☐ More than 1 crore		

E) **In case of FIIs/Others (as may be applicable)**

RBI Approval Reference Number	
RBI Approved date	D D M M Y Y Y Y
SEBI Registration Number (for FIIs)	

F) **Bank details**

1	Bank account type	☐ Saving Account ☐ Current Account ☐ Others (Please specify) _____			
2	Bank Account Number				
3	Bank				
4	Branch Address				
		City/town/village		PIN Code	
		State		Country	

	5	MICR Code												
	6	IFSC												

G)	Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors:	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ None

H) **Clearing Member Details** (to be filled up by Clearing Members only)

1	Name of Stock Exchange	
2	Name of Clearing Corporation / Clearing House	
3	Clearing Member ID	
4	SEBI Registration Number	
5	Trade Name	
	CM-BP-ID (**to be filled up by Participant)**	

I) **Standing Instructions**

1	I/We authorise you to receive credits automatically into my/our Demat/Bank account.	☐ Yes ☐ No

2 **SMS Alert facility**

Sr. No.	Holder	Yes	No
1	Sole/First Holder	☐	☐
2	Second Holder	☐	☐
3	Third Holder	☐	☐

3	**Mode of receiving Statement of Account** *[Tick any one]*	☐ Physical Form ☐ Electronic Form [*Read Note 4 and ensure that email ID is provided in KYC Application Form].*
4	Do you wish to receive divided / interest directly in to your bank account given below through ECS? (If not marked, the default option will be 'Yes;) [ECS is mandatory for locations notified by SEBI from to time]	☐ Yes ☐ No

I) **List of family members (Separate Annexure maybe used in case number of members is higher)**

Sr.No.	Name of Coparcener/Member	Gender	Date of Birth	Relation with Karta	Whether Coparcener/Member (please specify)

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		ⓧ AS7
Second Signatory		ⓧ AS7a
Third Signatory		ⓧ AS7b
Other Holders		
Second Holder		5➢
Third Holder		5➔

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

☐ Any one singly	
☐ Jointly by	
☐ As per resolution	
☐ Others (please specify)	

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
   - I. Client must ensure the confidentiality of the password of the email account.
   - II. Client must promptly inform the Participant if the email address has changed.
   - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

Acknowledgment

nuvama

NUVAMA WEALTH AND INVESTMENT LIMITED

801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051.

DP ID : IN303719

Received the application from M/s.______________________________ as the sole/first holder alongwith ____________________ and ____________________ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date : ____________________

Participant Stamp & Signature

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT

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), irculars / 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 inthis 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.
13. The stock broker / 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.
14. The depository participant shall execute 'non-pay in' related instructions on the same day or on the next working day from the date of submission of instruction by the Client. Further, if the date of submission and the execution date are same, Participants may execute such instructions on the same day on a "best effort basis" at Client's risk"

Statement of account

15. 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.
16. 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.
17. 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.
18. 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

19. 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.

20. 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

21. 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.

22. 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

23. 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

24. 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.

25. 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.

26. 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

27. 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

28. 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

29. 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.

30. 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.

31. 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.

32. 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

33. 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.

34. 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.

I/We have read and understood the terms & conditions laid out in this documents and I/we agree to abide by it at all the times.

	Client Name	Signature
First Holder		5➲
Second Holder		6➢
Third Holder		6➔

NUVAMA WEALTH AND INVESTMENT LIMITED (NWIL) DP ID – IN 303719 (NSDL)

DEPOSITORY CHARGES - SCHEDULE. 'A'

Particulars	☐ Star Scheme (DDPI)	☐ Regular Scheme (DDPI)	☐ Regular Scheme (Non DDPI)
1. Maintenance Charges	Rs.1500/- one time No annual maintenance charges. Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).	Free for 1st year. From 2nd year onwards Rs.500/p.a. Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).	Free for 1st year. From 2nd year onwards Rs.500/p.a. Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).
2. Market/Off Market Transfers/Inter Depository			
a) Purchase (Credit in)	Nil	Nil	Nil
b) Market Sell Within Nuvama	0.02% of the transaction value or Rs.20/- per transaction, whichever is higher	0.02% of the transaction value or Rs.20/- per transaction, whichever is higher	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher
c) Off Market Transaction	0.03% of the transaction value or Rs.20/- per transaction, whichever is higher	0.03% of the transaction value or Rs.20/- per transaction, whichever is higher	0.03% of the transaction value or Rs.20/- per transaction, whichever is higher
d) Sell (Debit from) target other than 2 b) and c above	0.03% of the transaction value or Rs.40/- per transaction, whichever is higher	0.03% of the transaction value or Rs.40/- per transaction, whichever is higher	0.03% of the transaction value or Rs.40/- per transaction, whichever is higher
3. Pledge / Hypothecation			
a) Creation / Acceptance / Closure	0.02% of the transaction value or Rs.50/- per transaction, whichever is higher	0.02% of the transaction value or Rs.50/- per transaction, whichever is higher	0.02% of the transaction value or Rs.50/- per transaction, whichever is higher
b) Invocation	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher
4. Demat Charges	Rs. 2.00 Per Certificate + Rs.30/- for Postage	Rs. 2.00 Per Certificate + Rs.30/- for Postage	Rs. 2.00 Per Certificate + Rs.30/- for Postage
5. Remat Charges	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs 10/-per request)+ Rs. 30/- for Postage	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs 10/-per request)+ Rs. 30/- for Postage	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs 10/-per request)+ Rs. 30/- for Postage
6. Account Closing	Nil	Nil	Nil

Note :- 1. Settlement fees levied by NSDL - Rs. 4 per debit transaction; CDSL - Rs. 5.5 per debit transaction.

2. Account maintenance charges for the clients falling under BSDA category:
   * Holding Upto Rs.4 lakhs: Nil,
   * Holding More than Rs.4 lakhs but up to Rs.10 lakhs: Rs.100/- annually
   * Holding More than Rs.10 lakhs: Not eligible for BSDA

6➲ First Holder

7➢ Second Holder

7➔ Third Holder

Terms & Conditions:

- Nuvama Wealth and Investment Limited reserves its right to revise its Charges/Billing structure at its absolute discretion, by giving one month's notice to clients.
- Cheques /Pay orders/ D.D., should be drawn in favor of Nuvama Wealth and Investment Limited. All the other charges will be collected over-the-counter and receipts of the same should be collected immediately.
- Statement of Transaction will be sent to you by courier/post/electronically as per guidelines issued by NSDL / SEBI from time to time.
- Service Tax will be applicable on the above charges and is subject to change.
- Please note that, in terms of SEBI Circular No. CIR/MRD/DP/20/2010 dated July 1, 2010, in the event of closing of your demat account or shifting of the demat account from us to another DP we shall refund you the Account Maintenance Charges for the unrealized quarter/balance of quarters.
- Additional Annual Maintenance charge of Rs. 500 will be charged for all types of corporate accounts as per NSDL guidelines. This will be charged on pro-rata basis. Type of accounts under this category will be – Body Corporate / FI / FII / Mutual Fund / Trust / Bank / QFI. Inclusion or exclusion in these client types will be subject to change as per guidelines received from NSDL.
- For the failed transactions credit to the extent of Rs.8/- per failed instruction will be given.
- Late transaction fees will be charged additional, Rs. 17.5/- per instruction + Incidental charge - tele/fax/etc.
- Incidental charges - tele / fax / courier / etc., if any, will be charged at actual for Demat Rejection.
- Periodic Transaction / Holding Statements will be sent on Correspondence address. While any Non-periodic Statements asked for, will be charged Rs. 5/- per page.
- The Client authorizes Nuvama Wealth and Investment Limited. (NWIL), to recover the DP charges on various transactions from time to time from the regular shares dealing /deposit account / any other account with Nuvama Wealth and Investment Limited. (NWIL) and/or Nuvama Securities Ltd.

Terms and Conditions for receiving the Statement for Demat Account by E-mail and/or on Website

- I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account.
- I/We is/are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- I/We am/are authorized by other holders to receive the documents through website/in my/our registered e-mail ID. I/We shall verify the authenticity of the e-mails which I/we shall receive.
- I/We shall inform NWIL in writing if there is any change in my/our registered e-mail ID.
- Either Party i.e. NWIL and I/We shall have the right to terminate such service, provided a written notice is given in advance to the other party.
- NWIL shall not be responsible, if I/we do not receive the statement due to incorrect e-mail ID and/or technical reasons, however in case NWIL receives bounced emails, NWIL will ensure that the transaction statements is provided to me/us in paper form.

I/We have read the terms and conditions and accept the schedule of charges ticked above.

7	8	8
First Holder	Second Holder	Third Holder

Annexure B

Self Declaration of Income and Net Worth

I, _____ having PAN no. _____ Resident of

(full address) _____

_____ do hereby

solemnly affirm and declare as under :-

a) My annual income is Rs._____ (Source of Income _____)

b) My DP holding as on date is attached herewith. The total valuation as on _____ is Rs. _____

c) My Net Worth as on _____ is Rs. _____

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

I certify that the above information given by me is true.

Signature of Client: 8➲

Name of Customer: _____

Date: _____

This is must read/ understood and to be complied by everybody dealing/ desirous in dealing in Capital and / or Derivatives (including Currency Derivative)

1. Prevention of Money Laundering Act, 2002 (PMLA) is enacted to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialize or canalise the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes etc.

2. PMLA is a part of the Global measures being taken by all the countries under the initiatives of United Nations.

3. It is an obligation of individual/entities to whom PMLA is applicable, to report certain kind of transactions routed through them to Financial Intelligence Unit (FIU), a department specially set up to administer PMLA under the Ministry of Finance.

4. PMLA is, inter-alia, applicable to various intermediaries which includes stock brokers, commodity brokers, sub-brokers, authorised person and depository participant etc.

5. As per PMLA the following type of transaction are to be reported to FIU: -

   (A). All cash transactions of the value of more than Rs. 10 Lacs or its equivalent in foreign currency. (B). All series of cash transactions integrally connected to each other which have been valued below Rs. 10 Lacs or its equivalent in foreign currency where such series of transactions takes place within one calendar month. (C). All suspicious transactions whether or not made in cash and including, inter-alia, credits or debits into any non monetary accounts such as demat account.

6. Any such above transaction(s), though not executed but attempted and failed are also required to be reported

7. The suspicious transaction(s) can be related to the transaction(s) under the circumstances such as: -

   (A). Client(s) whose identity verification seems difficult or client(s) that appear not to co-operate;(B). Asset management services for client(s) where the source of the funds is not clear or not in keeping with client(s) apparent standing /business activity; (C). Client(s) based in high risk jurisdictions; (D). Substantial increases in business without apparent cause; (E). Client(s) transferring large sum of money to or from overseas locations with instructions for payment in cash; (F). Attempted transfer of investment proceeds to apparently unrelated third parties; (G). Businesses undertaken by offshore banks/financial services; (H). Businesses reported to be in the nature of export/import of small items; (I). Unusual transactions by Clients of Special Categories (CSCs).

8. Clients of Special Categories includes: -

   (A). Non-resident client; (B). High net-worth client (having annual income + networth of more than Rs. 1 Crore); (C). Trust, Charities NGOs and organizations receiving donations; (D). Company having close family shareholdings or beneficial ownership; (E). Civil Servant or family member or close relative of civil servant; (F). Bureaucrat or family member or close relative of bureaucrat; (G). Current or Former MP or MLA or MLC or their family member or close relative; (H). Politician or their family member or close relative; (I). Current or Former Head of State or of Governments or their family member or close relative; (J). Senior government/judicial/ military officers or their family member or close relative; (K). Senior executives of state-owned corporations or their family member or close relative; (L). Companies offering foreign exchange offerings;

9. While opening the new account all the prescribed procedures of KYC and Client Identifications should strictly be followed in the context of ensuring the compliance under PMLA.

10. All the record of transaction(s) and client identifications must be preserved in a manner which can be retrieved promptly and reported to the authorities in the specified format as and when required.

11. The Clients are advised to be fully conversant with the provisions of PMLA and any amendments thereto from time to time and to co-operate with intermediaries by providing the additional information(s)/document(s), if asked for, to ensure the compliance requirements under PMLA.

12. The Client are advised to provide certain information which may be of personal nature or has hitherto never been called for such information can include documents evidencing source of funds/income taxreturns/bank records etc. You are advised to co-operate with us whenever such information is sought for from PMLA perspective.

13. The Clients are advised to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering freedom and causing damage to the nation. The Clients are supposed to provide their active co-operation in the due compliance of the law.

14. Please visit the website of Financial Intelligence Unit (www.fiuindia.gov.in) and Securities and Exchange Board of India (www.sebi.gov.in) for any further information on the subject.

Part C: FATCA-CRS Instructions & Definition

1 **Financial Institution (FI) -** The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance company, as defined.

i. **Depository institution:** is an entity that accepts deposits in the ordinary course of banking or similar business.

ii. **Custodial institution** isan entity that holds as a substantial portion of its business, holds financial assets for the account of others and where it's income attributale to holding financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of

a. The three financial years preceding the year in which determination is made; or

b. The period during which the entity has been in existence, whichever is less.

iii. **Investment entity is any entity:**

a. That primarily conducts a business or operates for or on behalf of a customer for any of the following activities or operations for or on behalf of a customer

i. Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instrumens; transferable securities; or commodity futures trading; or

ii. Individual and collective portfolio management; or

iii. Investing, administering or managing funds,money or financial asset or money on behalf of other persons ;

or

b. The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.

An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of:

i. the three-year period ending on 31 March of the year preceding the year in which the determination is made; or

ii. the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 - refer point 2c.)

In case the entity confirms it is an FI and a tax resident outside India, an additional CRS declaration will need to be filled. Refer Annexure A

iv. **Specified Insurance Company:** Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

IA FIS not required to apply for GIIN:

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors, Investment Managers & Executing Brokers
07	Exempt collective investment vehicle
08	Indian trust where the trustee is a reporting FI
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI (if you select this category, please provide Owner Reporting Statement or an Auditor's Letter with required details as mentioned in Form W8 BEN E)

2 Non-financial entity (NFE) – Any entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are:

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more established securities markets (Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity of which is regularly traded on an established securities market;

c. Active NFE : (is any one of the following):

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year is passive income and less than 50 percent of the assets held by the NFE during the preceding financial year are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank , or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to,one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for this status if the entity functions as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	**Any NFE that fulfills all of the following requirements:** It is established and operated in India exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in India and it is a professional organization, businessleague, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;It is exempt from income tax in India;It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;The applicable laws of the NFE's country or territory of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non- charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's country or territory of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's country or territory of residence or any political subdivision thereof. Explanation.- For the purpose of this sub-clause, the following shall be treated as fulfilling the criteria provided in the said sub-clause, namely:- (i) an Investor Protection Fund referred to in clause (23EA); (ii) a Credit Guarantee Fund Trust for Small Industries referred to in clause 23EB; and (iii) an Investor Protection Fund referred to in clause (23EC), of section 10 of the Act;

3 Other Definations

(i) Related entity

An entity is a 'related entity' of another entity if either entity controls the other entity, or the two entities are under common control For this purpose, control includes direct or indirect ownership of more than 50% of the votes and value in an entity.

(ii) Passive NFE

The term passive NFE means

(a) any non-financial entity which is not an active non-financial entity including a publicly traded corporation or related entity of a publicly traded company; or

(b) an investment entity defined in clause 1(iii)(b) of these instructions which is not located in any of the jurisdictions specified by the Central Board of Direct Taxes in this behalf.

(c) not a withholding foreign partnership or withholding foreign trust;

(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income includes income by way of :

(1) Dividends,

(2) Interest

(3) Income equivalent to interest,

(4) Rents and royalties, other than rents and royalties derived in the active conduct of a business conducted, at least in part, by employees of the NFE

(5) Annuities

(6) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income

(7) The excess of gains over losses from transactions (including futures, forwards, options and similar transactions) in any financial assets,

(8) The excess of foreign currency gains over foreign currency losses

(9) Net income from swaps

(10) Amounts received under cash value insurance contracts But passive income will not include, in case of a non-financial entity that regularly acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as such a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner under sub-rule (3) of rule 9 of the Prevention of Money- Laundering (Maintenance of Records) Rules, 2005.In the case of a trust, the controlling person means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, controlling person means persons in equivalent or similar positions.

Pursuant to guidelines on identification of Beneficial Ownership issued vide RBI circular no. DBOD.AML.BC. No.71/14.01.001/2012-13 dated January 18, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to:

i. More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company;

ii. More than 10% of the capital or profits of the juridical person, where the juridical person is a partnership; or

iii. More than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

iv. Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of the Author/Settlor/Grantor of the trust and the trustee, and the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity ofsuch persons, through the identity of the Author/Settlor/Grantor of the trust and the trustee, and the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

Note -Where no natural person is identified is the relevant natural person who holds the position of senior managing official

Type of Legal Entity	Controlling Person Type	Controlling Person Type Code	Permissible Values / Details
Partnership Firms / LLP	Owners / (Partners)	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Pvt Ltd / Public Ltd Companies	Owners/ Directors	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Society	Members / Commitee members	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official
Association of Person	Owners (Members)	C01	C01 CP of legal person-ownership
	Others	C03	C03 CP of legal person-senior managing official
Trust	Trustee	C05	C05 CP of legal arrangement—trust-trustee
	Beneficiaries	C07	C07 CP of legal arrangement—trust-beneficiary
	Settler	C04	C04 CP of legal arrangement-trust-settlor
	Others	C08	C08 CP of legal arrangement—trust-other
Company Us 8/25	Owners/ Directors	C01	C01 CP of legal person-ownership
	Senior Managing officials	C03	C03 CP of legal person-senior managing official

A. Controlling Person Type:

Code	Sub-category
C01	CP of legal person-ownership
C02	CP of legal person-other means
C03	CP of legal person-senior managing official
C04	CP of legal arrangement-trust-settlor
C05	CP of legal arrangement--trust-trustee
C06	CP of legal arrangement--trust-protector
C07	CP of legal arrangement--trust-beneficiary

Code	Sub-category
C08	CP of legal arrangement--trust-other
C09	CP of legal arrangement—Other-settlor equivalent
C10	CP of legal arrangement—Other-trustee equivalent
C11	CP of legal arrangement—Other-protector equivalent
C12	CP of legal arrangement—Other-beneficiary equivalent
C13	CP of legal arrangement—Other-other equivalent
C14	Unknown

(v) Specified U.S. person– A U.S person other than the following:

(a) a corporation the stock of which is regularly traded on one or more established securities markets;

(b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);

(c) the United States or any wholly owned agency or instrumentality thereof;

(d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;

(e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;

(f) any bank as defined in section 581 of the U.S. Internal Revenue Code;

(g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;

(h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);

(i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
(j) any trust that is exempt from tax under section 664© of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
(k) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
(l) a broker as defined in section 6045© of the U.S. Internal Revenue Code; or
(m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements:
(A) The FFI is an FFI solely because it is an investment entity;
(B) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
(C) The FFI does not maintain a financial account for any nonparticipating FFI;
(D) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
(E) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FFI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated with holding agent isnot required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI
(other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFE.

(vii) Direct reporting NFE
A direct reporting NFE means a NFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS

(viii) Exemption code for U.S. persons

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(I)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(I)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940 A common trust fund as defined in section 584(a)
I	A bank as defined in section 581
J	A broker
K	A trust exempt from tax under section 664 or described in section 4947(a)(1)
L	A tax exempt trust under a section 403(b) plan or section 457(g) plan

Signature of Client 9➲

Name: _____

Date:_____/_____/_____ Place:_____

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

FINANCIAL STATUS AND OTHER DETAILS

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 5 crore ☐ Above 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 5 crore ☐ Above 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 5 crore ☐ Above 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 and above

c. Please tick mark the additional applicable category to you

☐ Non resident client

☐ High net-worth client (having annual income + networth of more than Rs. 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.

Client Name :

10 ➲ _____

(Client Signature)

(VOLUNTARY)

To,

Date: _____

Nuvama Wealth and Investment Limited (NWIL)
801 - 804, Wing A, Building No. 3, Inspire BKC, G Block,
Bandra Kurla Complex, Bandra East, Mumbai – 400 051.

Dear Sirs,

Sub: Authorization for receiving any documents/communications in electronic form by E-mail from Depository Participant and/or display on Website.

I/We am/are registered as a Client and having Demat account under client code _____ with NWIL and hereby authorize NWIL for the following:

- I/We authorize NWIL to issue me/us bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my/our demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the Email ID as mentioned hereunder:

  E-mail Id:_____

- I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/we will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/ernail account.
- I/We is/are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- I/We am/are authorised by other holders to receive the documents through website/in my/our registered e-mail ID. I/We shall verify the authenticity of the e-mails which I/we shall receive. NWIL shall not be responsible, if I/we do not receive the documents due to incorrect e-mail ID and/or technical reasons.
- I/We shall inform NWIL in writing if there is any change in my/our registered e-mail ID.
- Either Party i.e. Depository Participant and Client shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

I/We understand that wherever the e-mails have not been delivered to me/us or has been rejected (bouncing of mails) from the e-mail ID of my/our, NWIL would send physical document to me/us. I/We further hereby agree that NWIL shall fulfill the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I/We agree that NWIL will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my/our email/inbox running out of capacity, malfunction of my/our computer system/ server/internet connection, mails received by frauds/imposters etc. I/We also agree that NWIL shall not take cognizance of out-of office/ out-of-station auto replies and I/We shall be deemed to have received such electronic mails. However, in the case of internet clients, the request for such change in email ID may be made through the secured access by way of client-specific login ID and password provided by NWIL.

I/We confirm to have read and understood the terms and conditions pertaining to my/our account.

Yours faithfully,

Signature	11➲ _____	9➢ _____	9➔ _____
Name	_____	_____	_____
	First Holder / Signatory	Second Holder	Third Holder

(To be signed by the client only and not by any other person or holder of the power of Attorney on his behalf)

To,

Nuvama Wealth and Investment Limited

801 - 804, Wing A, Building No. 3, Inspire BKC, G Block,
Bandra Kurla Complex, Bandra East, Mumbai – 400 051.

Dear Sirs,

Sub: Authorisation for adjustment of various depository charges

I/We are having a Trading account with Nuvama Wealth and Investment Limited (NWIL), a Stock Broker registered with NSE/BSE/MSEI having Client code as _____. (Trading account is in the name of first holder of demat account) and having a Demat account with Nuvama Wealth and Investment Limited (NWIL-DP), a Depository Participant of NSDL having my/our Client ID as _____.

I/We hereby give my/our consent/authority that all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me/us for the transactions carried out in my/our demat account including any statutory levies, services tax or any other taxes be debited/recovered directly to/from my/our trading ledger having code _____ maintained with NWIL. I/We understand and agree that such depository charges will be debited in my/our trading ledger maintained with NWIL irrespective of the ledger balance on periodically and/or as per the details provided by NWIL-DP.

I/We instruct NWIL-DP to provide the requisite information periodically and/or on occasion basis of such charges levied on me/us to NWIL with whom I/we have opened the trading account.

I/We understand and consent that NWIL shall have the right to recover the depository charges like any other trade dues payable by me/us from my/our trading ledger. I/We hereby further authorize NWIL to set off a part or whole of the collateral/ledger balances/securities in my/our demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my/our demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with NWIL-DP. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me/us.

Yours faithfully,

Signature	12➲ _____	10➢ _____	10➔ _____
Name	_____	_____	_____
	First Holder / Signatory	Second Holder	Third Holder

Place : _____

Date : _____



DPservicesNWIL@nuvama.com | Call 1 800 1023335 (Toll Free)

Nuvama Wealth and Investment Limited
801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex,
Bandra East, Mumbai – 400 051.