NWIL

# Nuvama Wealth and Investment Limited

## Simplified Investments

**ACCOUNT OPENING FORM (FOR NON INDIVIDUALS ONLY)**
**(TRADING AND DEMAT ACCOUNT)**

| Form No. | |
|---|---|

| Client Name | |
|---|---|

| Type of Account | TRADING CODE | DEMAT ID |
|---|---|---|
| Equity, Commodity and Demat | | |

## Section to be updated by BRANCH / FRONTEND team

| TRADING Branch Name | | DEMAT Branch Name | |
|---|---|---|---|
| TRADING Branch Code | | DEMAT Branch Code | |

| TEAM (please tick correct option below) | | | | |
|---|---|---|---|---|
| | PWA | HNI | GWM | Others |
| | | | | |

| For DIRECT CLIENT Accounts | ARM | SRM | Dealer | CSO |
|---|---|---|---|---|
| Employee Code | | | | |
| Employee Name | | | | |

| For AP / INDIRECT CLIENT Accounts | AP NAME | AP CODE |
|---|---|---|
| AP details to be updated | | |

| Branch operations | Employee Code | Employee Name | Date of Maker entry | |
|---|---|---|---|---|
| BRANCH | | | | |

## Section to be updated by OPERATIONS / ACCOUNT OPENING

| Branch operations | Employee Code | Employee Name | Date of Maker entry |
|---|---|---|---|
| Acop Team MAKER entry | | | |
| Acop Team CHECKER entry | | | |

| Post Account Opening Processes | Date | Name | Emp Code |
|---|---|---|---|
| Concurrent Audit | | | |
| Scanning | | | |
| KRA | | | |

**Message from Team Nuvama**

Dear Customer,

We are happy that you have chosen us as your investment partner.

We at Nuvama aim at enhancing experience and simplifying processes for our customers. This Account Opening Form is another step towards the very aim - making the process of entering a new financial relationship easier.

We take pleasure and pride in introducing this Account Opening form as one of the shortest and simplest in the industry.

Now, opening a trading account with us takes a few minutes only, leaving you more time to interact with our representative and clarify any doubts or queries that you may have.

We also request you to go through the Terms and Conditions booklet which will be appended with your KYC. This booklet covers the details of your relationship with us and helps you become an informed investor.

With this, we also urge you to write to us on - helpdesk@nuvama.com for trading and on DPservicesNWIL@nuvama.com for demat account issues, queries or feedback. We will be glad to hear from you.

Your trusted advisor always.

Warm Regards,
**Team Nuvama**

**Acquiring RM :**_______________________

| Initial Cheque Details | Name of the Bank | Cheque No. | Amount |
|---|---|---|---|
| ☐ Account Opening Fees | | | |
| ☐ Subscription Fees | | | |
| ☐ Margin Amount | | | |

## Nuvama Wealth and Investment Limited

**Broking and Depository services** offered by Nuvama Wealth and Investment Limited
SEBI Registration No.: **INZ000005231 (Trading Member of NSE, BSE, MSEI, MCX and NCDEX)**

Depository participant with CDSL and NSDL having **SEBI Registration No. : IN-DP-656-2021**

**Corporate Identity Number : U65100GJ2008PLC077462**

**Registered Office / Corporate Office :** 801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051
Contact at +91-22-66203030

Website : **www.nuvamawealth.com** and **Customer Care :** 1800-102-3335

Name of the Compliance Officer : Ms. Namita Godbole. Tel. 040-6637 5211
Email ID : **complianceofficer.nwil@nuvama.com/nwil.dpcompliance@nuvama.com**

For any grievance please contact us at Investor Grievance No.: 040-6637 5211
or you may write into us at **helpdesk@nuvama.com** for trading related queries and **DPservicesNWIL@nuvama.com** for Demat related queries.

In case not satisfied with the response, please contact Depository or Exchanges on below numbers.

CDSL - email to complaints@cdslindia.com or call on 1800-22-5533
NSDL - email to relations@nsdl.co.in and call on (022) 4886 7000

| | NSE | BSE | MSE | MCX | NCDEX |
|---|---|---|---|---|---|
| Email ID | ignse@nse.co.in | dis@bseindia.com | investorcomplaints@mse.in | ig-mcx@mcxindia.com | ig@ncdex.com |
| Phone No | 1800-266-0050 (select option 5) | +91 22 2272 8517 | +91 22 61129000 , Ext. 9028 | 022-6631 8888 | 1800-266-2339 |

If not satisfied with response or your grievance is still unresolved you may register complaint to SEBI on the **SCORES** website (link: **https://scores.sebi.gov.in/**)

**ICONS FOR ILLUSTRATION**

| AS | N | G | W1 | W2 |
|---|---|---|---|---|
| Authorised Signatory | Nominee | Guardian | Witness 1 | Witness 2 |

## INDEX



Cont. on next page...

| FOR EQUITY TRADING AND CDSL DEMAT ACCOUNT (PROVIDED THROUGH SEPARATE HANDBOOK) | | | |
|---|---|---|---|
| **MANDATORY SECTION** | | | |
| **Sr. No.** | **Name of the Document** | **Brief Significance of the Document** | **Page No.** |
| 1. | Instructions Checklist | Instructions/checklist for filling KYC form – Trading | 1-4 |
| 2. | Rights and Obligations – Stock Broker | Document stating the Rights & Obligations of Stock Broker / trading member, Sub-Broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading) | 5-13 |
| 3. | Risk Disclosure Documents (RDD) | Document detailing risk associated with dealing in the securities market | 14-19 |
| 4. | Guidance Note | Document detailing do's and don'ts for trading on exchange, for the education of the investors | 20-21 |
| 5. | Policies and Procedures | Document describing significant policies and procedures of the Stock Broker | 22-28 |
| 6. | Anti-Money Laundering (AML) | Understanding for clients about Anti Money Laundering (AML) provisions | 29-30 |
| 7. | Rights & Obligations – Demat | Rights & Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI & Depositories | 31-34 |
| **VOLUNTARY SECTION** | | | |
| 8. | Terms and Conditions (Voluntary) | General Terms & Conditions w.r.t. Trading | 35.60 |
| 9a. | Terms and Conditions for SMS and E-mail alerts | General Terms & Conditions w.r.t. SMS and E-mail alerts from Stock Exchanges and Stock Brokers | 61-65 |
| 9b. | Terms and Conditions for SMS alerts from CDSL | Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits] | 66-68 |
| 9c. | Terms and Conditions for TRUST service | Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL | 69-71 |
| 10. | Fatca Document | Fatca Document | 72-80 |
| 14. | General Information | General Information about Depository Participant - Demat | 81 |
| **MANDATORY SECTION - FOR COMMODITY DERIVATIVES** | | | |
| 15. | Risk Disclosure Document (RDD) | Document detailing risks associated with dealing in the commodities market | 82-87 |
| 16. | Rights and Obligations of Members , Authorised Persons and Clients | Document stating the Rights and Obligation of Member, Authorised person and Client for Trading on the Exchanges (including additional right and Obligation in case of Internet/ wireless technology based Trading) | 88-104 |
| 17. | Guidance Note | Document detailing Do's and Don'ts for trading on Exchanges, for the education of the investors | 105-107 |
| 18. | Policies and Procedures | Document describing significant policies and Procedures of the Commodity Broker | 108-114 |
| **NON-MANDATORY SECTION** | | | |
| 18. | Terms and Conditions | General Terms and Conditions w.r.t. trading in Commodities | 115-138 |

**Provided Through Seperate Handbook**

**Note :** In terms of circular of MCX : Ref No MCX/551/2006 dated December 13, 2006, NCDEX : Ref No NCDEX/COMPLIANCE-004/2006/331 dated December 8, 2006 and pursuant to the directions of the Forward Markets Commission (SEBI), we hereby inform you that we do not indulge in any Portfolio Advisory Services, Portfolio Management Services and such other services either directly or indirectly.

## 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

Line 1* ______________

Line 2 ______________

Line 3 ______________ City / Town / Village ______________

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

☐ 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 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 | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form**

A Certification / Guidelines for filing Entity Dealers Section

1 Entity Constitution Type

A - Sole Proprietorship
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Person (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Bank
M - Central / State Government Department or Agency
N - Section 8 Companies (Companies Act, 2013)
O - Artificial Jurisdical Person
P - International Organisation or Agency / Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity [PoI]' section

1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.

2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.

3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.

4 '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.

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

6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address (PoA]' section

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

2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for 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.

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details

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

2 Proof of Address [PoA]

- 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.
- State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- REs may use the Self Declaration check box where Aadhar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

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

F Provision for capturing signature of multiple-authorised persons is to be made by the RE.

## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

| State / U.T. | Code | State / U.T. | Code | State / U.T. | Code |
|---|---|---|---|---|---|
| Andaman & Nicobar | AN | Himachal Pradesh | HP | Pondicherry | PY |
| Andhra Pradesh | AP | Jammu & Kashmir | JK | Punjab | PB |
| Arunachal Pradesh | AR | Jharkhand | JH | Rajasthan | RJ |
| Assam | AS | Karnataka | KA | Sikkim | SK |
| Bihar | BR | Kerala | KL | Tamil Nadu | TN |
| Chandigarh | CH | Lakshadweep | LD | Telangana | TS |
| Chattisga rh | CG | Madhya Pradesh | MP | Tripura | TR |
| Dadra and Nagar Haveli | DN | Maharashtra | MH | Uttar Pradesh | UP |
| Daman & Diu | DD | Manipur | MN | Uttarakhand | UA |
| Delhi | DL | Meghalaya | ML | West Bengal | WB |
| Goa | GA | Mizoram | MZ | Other | XX |
| Gujarat | GJ | Nagaland | NL | | |
| Haryana | HR | Orissa | OR | | |

## List of ISO 3168 TWO DIGIT cOUNTRY cODE

| Country | Country Code | Country | Country Code | Country | Country Code | Country | Country Code |
|---|---|---|---|---|---|---|---|
| Afghanistan | AF | Domestic Republis | DO | Libya | LY | Saint Pierre and Mlquelon | PM |
| Aland Islands | AX | Ecuador | EC | Liechtenstein | LI | Saint Vincent and the Grenadines | VC |
| Albania | AL | Egypt | EG | lithuania | LT | Samoa | WS |
| Algeria | DZ | El Salvador | SV | Luxembourg | LU | San Marino | SM |
| American Samoa | AS | Equatorial Guinea | GQ | Macao | MO | Sao Tome and Principe | ST |
| Andorra | AO | Eritrea | ER | Macedonia, the former Yugoslav Republic of | MK | Saudi Arabia | SA |
| Angola | AO | Estonia | EE | Madagascar | MG | Senegal ES | SN |
| Anguilla | AI | Ethiopia | ET | Malawi | MW | Serbia | RS |
| Antarrctico | AQ | Falkland Islands (Malvinas) | EK | Malaysia | MY | Seychelies | SC |
| Antigua and Barbuda | AG | Faroe Islands | FO | Maldives | MV | Sierra Leone | SL |
| Argentina | AR | Fiji | FJ | Mali | ML | Singapore | SG |
| Armenia | AM | Finland | FI | Malta | MT | Sint Maarten (Dutch part) | SX |
| Aruba | AW | France | FT | Marshall Islands | MH | Slovakia | SK |
| Australia | AU | French Guiana | GF | Martinique | MQ | Slovenia | SI |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Islands | SB |
| Azerbaijan | AZ | French Southern Territories | TF | Mauritius | MU | Somalia | SO |
| Bahamas | BS | Gabon | GA | Mayotte | YT | South Africa | ZA |
| Bahrain | BH | Gambia | GM | Mexico | MX | South Georgia and the South Sandwich Islands | GS |
| Boangladesh | BO | Georgia | GE | Micronesia, Federated States of | FM | South Sudan | SS |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Barbados | BB | Germany | DE | Moldova, Republic of | MD | Spain | ES |
| Belarus | BY | Ghana | GH | Monaco | MC | Sri Lanka | LK |
| Belgium | BE | Gibraltar | GI | Mongolia | MN | Sudan | SD |
| Belize | BZ | Greece | GR | Montenegro | ME | Suriname | SR |
| Benin | BJ | Greenland | GL | Montserrat | MS | Svalbard and Jan Mayen | SJ |
| Bermuda | BM | Grenada | GD | Morocco | MA | Swaziland | SZ |
| Bhutan | BT | Guadeloupe | GP | Mozambique | MZ | Sweden | SE |
| Bolivia, Plurlnatlonal State of | BO | Guam | GU | Myanmar | MM | Switzerland | CH |
| Bonaire, Sint Eustatlus and | BQ | Guatemala | GT | Namibia | NA | Syrian Arab Republic | SY |
| Saba Bosnia and Herzegovina | BA | Guernsey | GG | Nauru | NR | Taiwan, Province of China | TW |
| Botswana | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| Bouvet Island | BV | Guinea-Bissau | GW | Netherlands | NL | Tanzania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| British Indian Ocean Territory | IO | Haiti | HT | New Zealand | NZ | Tlmor-Leste | TL |
| Brunei Darussalam | BN | Heard Island and McDonald Islands | HM | Nicaragua | NI | Togo | TG |
| Bulgaria | BG | Holy See (Vatican City State) | VA | Niger | NE | Tokelau | TK |
| Burkina Faso | BF | Honduras | HN | Nigeria | NG | Tonga | TO |
| Burundi | BI | Hong Kong | HK | Niue | NU | Trinidad and Tobago | TT |
| Cabo Verde | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| Cambodia | KH | Iceland | IS | Northern Mariana Islands | MP | Turkey | TR |
| Cameroon | CM | India | IN | Norway | NO | Turkmenistan | TM |
| Canada | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| Cayman Islands | KY | Iran, Islamic Republic of | IR | Pakistan | PK | Tuvalu | TV |
| Central African Republic | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| Chad | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| Chile | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| China | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| Chrlstmas Island | CX | Italy | IT | Paraguay | PY | United States | US |
| Cocos (Keeling) Islands | CC | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| hColombia | CO | Japan | JP | Philippines | PH | Uruguay | UY |
| Comoros | KM | Jersey | JE | Pitcairn | PN | Uzbekistan | UZ |
| Col180 | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| Congo the Democratic Republic of the | CD | Kazakhstan | KZ | Portugal | PT | Venezuela, Bolivarian Republic of | VE |
| Cook Islands | CK | Kenya | KE | Puerto Rico | PR | Viet Nam | VN |
| Costa Rica | CR | Kiribati | KO | Qatar | QA | Virgin Islands, British | VG |
| Cote d'Ivoire !Cote d'Ivoore | CI | Korea, Democratic People's Republic of | KP | Reunion !Reunlon | RE | Virgin Islands, U.S. | VI |
| Croatia | HR | Korea, Republic of | KR | Romania | RO | Wallis and Futuna | WF |
| Cuba | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Curacao !Curacao | CW | Kyrgyzstan | KG | Rwanda | RW | Yemen | YE |
| Cyprus | CY | Lao People's Democratic Republic | LA | Saint Barthelemy Salnt Barthelemy | BL | Zambia | ZM |
| Czech Republic | CZ | Latvia | LV | Saint Helena, Ascension and Tristan da Cunha | SH | Zimbabwe | ZW |
| Denmark | DK | Lebanon | LB | Saint Kitts and Nevis | KN | | |
| Djibouti | DJ | Lesotho | LS | Saint lucia | LC | | |
| Dominica | DM | Liberia | LR | Saint Martin (French part) | MF | | |

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

1. Name
2. Relationship with Applicant (i.e. promoters, whole time directors etc)

3a. PAN 3b. DIN

3c. Aadhar (UID) Number

4. Residence / Registered Address

City/town/village. Pin Code:

State: Country:

PHOTOGRAPH

Please affix your recent passport size Photograph and sign across it

AS

First Authorised Signtory

AS

Second Authorised Signatory

AS

Third Authorised Signatory

Date

## 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 X X X X X X X X
- ☐ Z - Others ____________ (any document notified by Central Government) Identification Number ____________

II ☐ E - E-KYC Authentication X X X X X X X X

III ☐ F - Offline verification of Aadhaar X X X X X X X X

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/We hereby declare that the details fumished above are true and correct to the best of my/our knowledge and belief and I 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 X X X X X X X X ____
☐ F - Proof of Possession of Aadhar X X X X X X X X ____
II ☐ E - E-KYC Authentication X X X X X X X X ____
☐ Z - Others ______________ (any document notified by Central Government) Identification Number ______________

**PHOTO**

AS
______________
Authorised Signtory

**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/We hereby declare that the details fumished above are true and correct to the best of my/our knowledge and belief and I 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 X X X X X X X X ☐☐☐☐
☐ F - Proof of Possession of Aadhar X X X X X X X X ☐☐☐☐
II ☐ E - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ 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 X X X X X X X X
- ☐ Z - Others ______________ (any document notified by Central Government) Identification Number ______________

II ☐ E - E-KYC Authentication X X X X X X X X

III ☐ F - Offline verification of Aadhaar X X X X X X X X

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/We hereby declare that the details fumished above are true and correct to the best of my/our knowledge and belief and I 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 X X X X X X X X ☐☐☐☐
☐ F - Proof of Possession of Aadhar X X X X X X X X ☐☐☐☐
II ☐ E - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ Z - Others ______________ (any document notified by Central Government) Identification Number ______________

**PHOTO**

AS

______________
Authorised Signtory

**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 X X X X X X X X
- ☐ Z - Others ____________ (any document notified by Central Government) Identification Number ____________

II ☐ E - E-KYC Authentication X X X X X X X X

III ☐ F - Offline verification of Aadhaar X X X X X X X X

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/We hereby declare that the details fumished above are true and correct to the best of my/our knowledge and belief and I 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 X X X X X X X X ☐☐☐☐
☐ F - Proof of Possession of Aadhar X X X X X X X X ☐☐☐☐
II ☐ E - E-KYC Authentication X X X X X X X X ☐☐☐☐
☐ Z - Others ____________________ (any document notified by Central Government) Identification Number ____________________

PHOTO

AS

____________________
Authorised Signtory

**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/We hereby declare that the details fumished above are true and correct to the best of my/our knowledge and belief and I 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 **IN1256**

(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 | | | |

nuvama

# ADDITIONAL KYC FORM FOR OPENING EQUITY, COMMODITY TRADING AND DEMAT ACCOUNT

**Please fill in english and in BLOCK letters with black ink**

**Application Form No. :** ____________

## Details

To be filled by the Depository Participant

Date ____________ DP Internet Reference No. [ ]

DP ID 1 2 0 3 2 3 0 0 Client ID [ ]

Type of account : ☐ Non-Individual

I/We request you to open a demat account in my/our name as per following details:

AS

**First holder of demat account**

Please affix the recent passport size photograph and sign across it

| | Name of First Holder | Name of Second Holder | Name of third Holder |
|---|---|---|---|
| **Name*** | | | |

*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., all though the account is opened in the name of the natural person, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

## Type of account (Please tick whichever is applicable)

| Status | Sub - Status | |
|---|---|---|
| ☐ Non-Individual | **Type of Account (Please tick whichever is applicable) Status** | **Sub - Status** |
| | ☐ Body Corporate ☐ Banks ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII<br>☐ CM ☐ FI ☐ Clearing House ☐ Others (specify)____________ | To be filled by the DP |
| | SEBI Registration No. (If Applicable) ____________ SEBI Registration date D D M M Y Y Y Y<br>RBI Registration No. (If Applicable) ____________ RBI Approval date D D M M Y Y Y Y | |
| | Nationality ☐ Indian ☐ Others (specify)____________ | |

## Standing instructions

| | |
|---|---|
| I/We instruct the DP to receive each and every credit in my / our account<br>(If not market, the default option would be 'Yes') | (Automatic Credit)<br>☐ Yes ☐ No |
| Account Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly | |
| I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID____________ | ☐ Yes ☐ No |
| I/ We would like to share the email ID with the RTA | ☐ Yes ☐ No |
| I / We would like to receive the Annual Report<br>(Tick the applicable box. If not marked the default option would be in Physical) | ☐ Physical ☐ Electronic<br>☐ Both Physical & Electronic |
| I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end ( If not marked, the default option would be 'No') | ☐ Yes ☐ No |
| I/We wish to receive dividend / interest directly to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time. | ☐ Yes ☐ No |
| Clearing Member Details (To be filled by CMs only) | |

Name of Stock Exchange ____________ Name of CC / CH ____________

Clearing Member Id ____________ Trading member ID ____________

## Other Details

| | |
|---|---|
| **Occupation** | ☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture<br>☐ Retired ☐ Housewife ☐ Student ☐ Others Specify ____________ |
| **Please tick, if applicable:** | ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) |
| **Any other information** | |

**Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP). [For Non-Individual]**

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐ Yes ☐ No. ☐ None If Yes, please provide details as under:

Name of Holder ____________ PAN of the Holder ____________

| Sr. No. | Name of the Authorized signatures / Promoters / Partners / Karta / Trustees / Whole Time Directors | Relationship with the holder (i.e.) promoters, whole time directors etc. | Please tick the relevant option. |
|---|---|---|---|
| | | | ☐ PRP<br>☐ RPEP |
| | | | ☐ PRP<br>☐ RPEP |
| | | | ☐ PRP<br>☐ RPEP |

## SMS Alert & Trust Facility

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

## Option for Issue of Delivery Instruction Booklet (DIS Booklet)

***Mandatory to select any one option***

Kindly confirm the manner of receiving DIS booklet

***(To be filled by person seeking to open a Depository account where Demat Debit and Pledge Instructions has been granted to operate the depository account)***

☐ I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Demat Debit and Pledge Instructions (DDPI) executed in favour of Nuvama Wealth and Investment Limited with for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through NWIL.

☐ I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a DDPI in favour of Nuvama Wealth and Investment Limited (NWIL) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through NWIL. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

AS ____________ First Authorised Signatory

AS ____________ Second Authorised Signatory

AS ____________ Third Authorised Signatory

## Other Details - For Non Individual

Gross annual income range p.a.: ☐ Below Rs. 1 Lac ☐ Rs. 1-5 Lac ☐ Rs. 5-10 Lac ☐ Rs. 10-25 Lac ☐ Rs. 25 Lac -1 Crore ☐ 1 Crore-5 Crore ☐ > 5 Crore

OR

Net-worth in Rs
(Net worth should not be older than 1 year) ____________________ as on D D M M Y Y Y Y

Occupation: ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Professional ☐ Farmer ☐ Others (Please specify)

Please tick if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP) ☐ Not Politically Exposed Person (PEP) ☐ Not Related to a Politically Exposed Person (RPEP) ☐ None

Client Category (Only for Commodities Derivative Market): ☐ Farmers/FPOs, ☐ Value Chain Participants (VCPs) ☐ Proprietary traders, ☐ Domestic Financial Institutional Investors ☐ Foreign Participants ☐ Others

Is the entity involved/providing any of the following services YES NO
☐ For Foreign Exchange / Money Changer Services ☐ YES ☐ NO
☐ Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
☐ Money Lending / Pawning ☐ YES ☐ NO

Whether registered under MSMED Act, 2006: ☐ Yes ☐ No (If Yes, please provide the MSME registration certificate)

Any other other information ____________________

- I /We wish to receive the standard account opening documents i.e :- Rights & Obligations (Stock Broker and Depository Participant) , Uniform Risk Disclosure Documents and guidance note detailing Do's and Dont's in the below mentioned mode :-

☐ Electronic ☐ Physical

## Additional Details

Whether you wish to receive physical contract note or Electronic Contract Note (ECN)/Statement of A/c please specify : ☐ Physical ☐ Electronic

Specify your Email Id, if applicable : ____________________ Number of years of Investment / Trading experience : (strike off, if not applicable) ____________________

Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify) : ☐ Yes ☐ No (strike off, if not applicable)

Any other information :

## DP Account(s) Details

In case, client does not have a DP Account, this column may not be filled in.

Depository Name: ☐ NSDL ☐ CDSL DP ID ☐☐☐☐☐☐☐☐ Depository Participant Name ____________________

Beneficiary Name ____________________ Beneficiary ID (BO ID) ☐☐☐☐☐☐☐☐

## Holders Details

I/We request you to open a Demat Account in my / our name as per following details :-

| | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Sole / First Holder's Name | | Search Name | | PAN | | | | | | | | | | | |
| | | | | UCC | | | | | | | | | | | |
| | | | | Exchange Name & ID | | | | | | | | | | | |

## 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: ____________________

## Dealings Through Authorized Persons And Other Members

If the client is dealing through any other Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's / AP's Name:

Exchange:

Exchange's Registration number:

Concerned Member's Name with whom the AP is registered:

Registered office address:

Pin Code:

Phone : ____________________ Fax : ____________________

Email ID: ________________________________ Website: ________________________________

Client Code :

Details of disputes/dues pending from/to such Member/AP: ________________________________

## Trading Preferences

Please select the segments in which you wish to trade and sign in the relevant boxes. Please strike off the segment not chosen by you.

| Segment | CM Segment [NSE & BSE] | F & O Segment [NSE & BSE] | CD Segment [NSE] | Debt Segment [NSE & BSE] | Commodities Segment [MCX & NCDEX] | Mutual Fund [NSE & BSE] | All Segments [**CM**-NSE & BSE; **FO**-NSE & BSE; **CD**-NSE; **Debt**-NSE & BSE; **CO**-MCX & NCDEX; **MFSS**-NSE & BSE] |
|---|---|---|---|---|---|---|---|
| Signatures AS | | | | | | | |

"In future, if you wish to trade on any new segment or opt out of an existing segment/s, please submit a duly signed authorisation / letter to us."

## Purpose of Trading

☐ Hedging ☐ Investment ☐ Others (Specify) ____________________

## GST Details

GST Registration No. : ____________________ GST Location : ____________________

## Introducer Details

Name of the Introducer :

(Surname) (Name) (Middle Name)

Status of the Introducer: ☐ Authorized Person ☐ Existing Client ☐ Others, please specify : ____________________

Address of the Introducer :

PAN No. ____________________ Client Code

Tel. No. ____________________

Signature of the Introducer : I ____________________

## Client Categorisation

Pls select (✓) on the below appropriate category depending upon your proposed nature of your activity against each product type

**Client Categorisation**

| Commercial ☐ | Non Commercial ☐ |
|---|---|
| **Product Type** | |
| Bullion ☐ | Bullion ☐ |
| Base Metals ☐ | Base Metals ☐ |
| Energy ☐ | Energy ☐ |
| Agri-Commodities ☐ | Agri-Commodities ☐ |
| Not Applicable ☐ | Not Applicable ☐ |

**Note :-** With a view to understand the extent of involvement of the physical market participants and to identify the nature of participants in the Commodities Derivative Market, Members of the Exchange are required to Categorize the identified Clients under one of the following category:

1. COM: Commercial Client includes Value Chain/ Physical market participant/ exporter/ importer/ having direct/ indirect Exposure to the underlying Commodity
2. NON-COM: Non Commercial Client includes Trader/ Arbitrageur
3. N.A.: Not Applicable (Client not dealing in the product)

## HIGH Value Transactions :-

I/We may undertake high value transaction of Rs.5 lakhs or more in a day depending on market volatility in any of the Exchange/s, where I/We am/are registered as client with Nuvama. Purposes of doing transaction are: (Please tick the option whichever is applicable.)

☐ Trading / Speculation ☐ Arbitrage ☐ Hedging ☐ All of above

## Dealing / Trading in Commodities

I/We wish to trade in the following commodities with the Exchanges**.
(tick (✓) whichever is applicable)
** In future, if you wish to trade on any new commodity(ies) please submit a duly signed consent letter to us.

| MCX<br>Name of the Commodity | Tick if Applicable | NCDEX<br>Name of the Commodity | Tick if Applicable |
|---|---|---|---|
| NCDEX FUTURE INDEX | | GOLD | |
| BARLEY | | SILVER | |
| CASTORSEEDNEW | | ALUMINIUM | |
| CHANA | | BRASS | |
| COTTONSEED OIL CAKE AKOLA | | COPPER | |
| COTTON29MM | | LEAD | |
| CRUDE_PALM_OIL | | NICKEL | |
| CORIANDER | | ZINC | |
| GUARGUM_5MT | | CRUDEOIL | |
| GUAR_SEED10 | | NATURALGAS | |
| JEERA | | CARDAMOM | |
| KAPASNEW | | CASTORSEED | |
| MAIZEKHARIF | | COTTON | |
| MAIZERABI | | MENTHAOIL | |
| MOONG | | PEPPER | |
| PADDY_BASMATI | | RBDPMOLEIN | |
| RAPE_MUSTARD_SEEDS | | CPO | |
| SUGARM | | RUBBER | |
| SOYABEAN | | | |
| SOY_OIL | | | |
| TURMERIC | | | |
| WHEATKOTA | | | |

## Bank Account(s) Details

| | |
|---|---|
| Account Type | ☐ Saving ☐ Current |
| Bank Name (throuh whish transactions will be routed | |
| Bank Account No. | |
| Branch Address | |
| | Pin |
| | IFSC Code: MICR No.: NEFT Code: |

## Client Declaration

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

4. I/We hereby submit self-certified Aadharcopy(ies) with my/our due consent for opening the above account associated with my/our investment with Nuvama.

AS | AS | AS

First Authorised Signatory | Second Authorised Signatory | Third Authorised Signatory

Place ____________________

Date ____________________

## Office Use Only

I/We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of Rights and Obligations document (s), RDD, Do's and Dont's and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the tariff sheet and all the voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the Rights and Obligations and RDD would be made available on my/our website, if any, for the information of the clients.

**For Nuvama Wealth and Investment Limited**

**Authorised Signatory**

## MOST IMPORTANT TERMS AND CONDITIONS (MITC)

**(For non-custodial settled trading accounts)**

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.

2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.

3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.

4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.

5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).

6. You will get a contract note from the stock broker within 24 hours of the trade.

7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.

8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.

9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.

10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

AS

First Authorised Signatory

Date______________________________

## TERMS AND CONDITIONS FOR RESEARCH ANALYST

1. **Availing the research services:** By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service offered by Nuvama Wealth and Investment Limited (herein after referred to as "NWIL") at his/her sole discretion. NWIL confirms that research services shall be rendered in accordance with the applicable provisions of the SEBI's Research Analyst (RA) Regulations.

2. **Obligations on RA:** NWIL and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.

3. **Client Information and KYC:** The client shall furnish all such details in full as may be required by NWIL in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time. NWIL shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.

4. **Standard Terms of Service:** The client hereby consents that:

   - I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.

   - I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

   - I/We understand that –

     i. Any investment made based on the recommendations in the research report are subject to market risk.

     ii. Recommendations in the research report do not provide any assurance of returns.

     iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

   NWIL hereby declares and confirms that:

     i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are: (SEBI Regn No: INH000011103, Regn Date: March 19, 2015);

     ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;

     iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;

     iv. The maximum fee that may be charged by RA is ₹1.51 lakhs per annum per family to Individual and HUF clients.

     v. The recommendations provided by RA do not provide any assurance of returns.

5. Consideration and mode of payment: The client shall duly pay to NWIL, the agreed fees for the services that the company renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s).

6. Risk factors: The recommendations provided by NWIL in the capacity of a Research Analyst and distributed as per SEBI (Research Analysts) Regulations 2014. Such recommendations does not constitute an offer or solicitation for the purchase or sale of any financial instrument or as an official confirmation of any transaction. The information contained therein is from publicly available data or other sources believed to be reliable. Such recommendations shall be provided for assistance only and are not intended to be and must not alone be taken as the basis for an investment decision. The user assumes the entire risk of any use made of such information. Each recipient of such research services should make such investigation as it deems necessary to arrive at an independent evaluation of an investment in the securities of companies referred to in this document (including the merits and risks involved), and should consult his own advisors to determine the merits and risks of such investment. The investment discussed or views expressed may not be suitable for all investors. NWIL or any of its associates / group companies shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in such recommendation.

7. Conflict of interest: NWIL shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. NWIL shall disclose any potential/material conflict of interest with respect to any recommendation and related information and opinions at the time of publication of research report or at the time of public appearance.

8. Termination of service and refund of fees: In case of suspension of certificate of registration of NWIL for more than 60 (sixty) days or cancellation of the RA registration, NWIL shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.

9. Grievance redressal and dispute resolution: Any grievance related to (i) non- receipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by RA, shall be escalated promptly by the client by reaching out to NWIL's Helpdesk at helpdesk@nuvama.com or 1800-102-3335.

   NWIL shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations. NWIL shall redress grievances of the client in a timely and transparent manner. Any dispute between NWIL and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

10. Additional clauses: Any additional voluntary clauses added by NWIL should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.

11. Mandatory notice: Clients shall be requested to go through Do's and Don'ts while dealing with RA as specified in SEBI master circular no. SEBI/HO/MIRSD-POD-1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.

12. Optional Centralised Fee Collection Mechanism: As may be applicable, NWIL Shall provide the guidance to their clients on an optional 'Centralised Fee Collection Mechanism for IA and RA' (CeFCoM) available to them for payment of fees to RA.

AS

First Authorised Signatory

Date______________________________

## Most Important Terms and Conditions (MITC)

(Forming part of the Terms and Conditions for providing research services)

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.

2.2. The fee limit does not include statutory charges.

2.3. The fee limits do not apply to a non-individual client / accredited investor.

3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).

5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.

7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.

10. For any grievances,

    Step 1: the client should first contact the RA using the details on its website or following contact details:

    (RA to provide details as per 'Grievance Redressal / Escalation Matrix')

    Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in

    Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at https://smartodr.in

11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

13. The terms and conditions and the consent thereon are for the research services provided by the NWIL and NWIL cannot execute/ carry out any trade (purchase/ sell transaction) on behalf of the client. Thus, you are advised not to permit RA to execute any trade on your behalf.

AS

First Authorised Signatory

Date______________________________

Date : ________________

From: ________________

Client Code: ________________

DP Client Code: ________________

**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 Sir,

**Subject : KYC Document Booklet & Declaration for opening Trading and Depository Account**

**Declaration for Opening Trading (for Equity and / or Commodity) and Depository Account Alongwith Acceptance of KYC Document Booklet.**

1. I am desirous of opening the trading(for Equity and / or Commodity) and /or depository account with **Nuvama Wealth and Investment Limited** and I am in the process of executing client registration documents relating to the opening of trading and demat account.
2. I have furnished all the details required in the KYC form as per SEBI/Exchange / Depository requirements. I confirm having read/been explained and understood the contents of the KYC documents which are provided to me in separate booklet. The KYC document booklet includes the following :-
   a) Instructions and Checklist for filling the KYC, Ckyc form and FATCA Declaration
   b) Information on Anti money Laundering
   c) Rights and Obligations of the parties relating to Trading account (Including internetand wireless technology based trading) prescribed by SEBI and Stock Exchangesand Rights and Obligations between Beneficiary Owner and Depository Participant
   d) Uniform Risk Disclosure Document (RDD) prescribed by SEBI and Stock Exchanges, including guidance note and Do's and Don'ts for clients
   e) Policies and Procedures (under paragraph 8 of SEBI Circular No : MIRSD/SECIR-19/2009 dated December 3, 2009)
   f) Additional terms and conditions (for Equity and / or Commodity) - (Voluntary Document)
   g) Terms And Conditions- for receiving SMS Alerts from CDSL (Annexure 2.4) and Transaction Using Secured Texting (TRUST) (Annexure 2.6)
   h) General Information for both Trading and Demat account
3. I understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account. I understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time and changes if any in future will be intimated to me.
4. I understand that as additional control have registered the KYC documents related to opening of trading and depository account, respectively are registered with the Sub-Registrar of Assurances, Mumbai bearing registration number BBI1/4615/2014 and BBI2/4617/2014 respectively dated May 30, 2014 and sameis available with the registrar for records and reference purpose. This is not mandated by SEBI.
5. I have received the booklet with above mentioned contents. I also confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and their Terms & Conditions in the booklet.

8. The Client agrees and hereby authorizes Member at its sole discretion and without any prior notice to the Client, to record any conversation between the Client and Member. Such recording shall be deemed to bind Client and is hereby accepted by the Client as conclusive and binding on the Client for all purposes and further the Client shall not challenge the accuracy, truth, or correctness of the said records in any manner and for any purpose whatsoever. Such recordings shall be retained at all times in accordance with the applicable regulations.
9. The Stock Broker may engage third-party vendors, duly empanelled with the Service Provider/s, for the purpose of rendering transcription and/or other ancillary services ("Third-Party Services") as required under this Agreement. For the purpose of rendering such services, NWIL may be required to share details of clients with Service Provider/s and/or the empanelled third-party vendors. The client hereby authorizes Member at its sole discretion and without any prior notice to the Client, to share any such details with the Service Provider/s and/or the empanelled third party vendors.
10. I/We hereby confirm that I/we are aware that there exists more than one demat account which are registered in my / our with the same email ID and/or mobile number and/or Bank account or PAN but with other stock brokers and that the said accounts are opened by me for investments / trading purposes.

    I/We further state that I/we may use the same email ID, mobile number, or PAN or Bank for the purpose of opening other demat account with any other stock broker in future.

Date: ________________

Place: ________________

AS

________________
Signature of Client/ (all) Authorized Signatory (ies)

# DEMAT DEBIT AND PLEDGE INSTRUCTION

## Details of Client / Principals

| | | |
|---|---|---|
| Name of Client/First Holder | | |
| Address of Client | | |
| Trading Account No. | | |
| Depository Participant Name | **Nuvama Wealth and Investment Limited)** | |
| DP ID CDSL | **12032300** | ☐ *(Please select whichever applicable)* |
| DP ID NSDL | **IN303719 / IN302201** | ☐ *(Please select whichever applicable)* |
| Demat Account No. | | |

Dear Sir/Madam,

I/We executing the Demat Debit and Pledge instruction in favour of Nuvama Wealth and Investment Limited, authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose.

| Sr. No. | Purpose | Signature of First Authorised Signatory* | Signature of Second Authorised Signatory* | Signature of Third Authorised Signatory* |
|---|---|---|---|---|
| 1 | Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker. | AS | S | T |
| 2 | Pledging / re-pledging of securities in favour of trading member (TM) / clearing member(CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. | AS | S | T |
| 3 | Mutual Fund transactions being executed on stock exchange order entry platforms. | AS | S | T |
| 4 | Tendering shares in open offers through Stock Exchange platforms | AS | S | T |

* the same may be signed physically against each purpose of DDPI.

## Details of Stock Broker's Demat Account

| Name of DP / CC | DP ID | Account Type | Account No | CM BP ID |
|---|---|---|---|---|
| Nuvama Wealth and Investment Limited | In303719 | NSE POOL A/C NSDL | 10246227 | In565785 |
| Nuvama Wealth and Investment Limited | IN303719 | BSE POOL A/C NSDL | 10246235 | IN655816 |
| Nuvama Wealth and Investment Limited | 12032300 | NSE POOL A/C CDSL | 00158395 | - |
| Nuvama Wealth and Investment Limited | 12032300 | BSE POOL A/C CDSL | 00158420 | - |
| NSCCL | | NSE MUTUAL FUND | - | IN565576 |
| ICCL | | BSE STAR MF | - | IN620031 |
| Nuvama Wealth and Investment Limited | IN303719 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT | 11079884 | - |
| Nuvama Wealth and Investment Limited | 12032300 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT | 05041035 | - |
| Nuvama Wealth and Investment Limited | IN303719 | CLIENT SECURITIES - MARGIN FUNDING ACCOUNT | 11079905 | - |
| Nuvama Wealth and Investment Limited | 12032300 | CLIENT SECURITIES - MARGIN FUNDING ACCOUNT | 05041069 | - |
| Nuvama Wealth and Investment Limited | 12032300 | MSE CLEARING MEMBER ACCOUNT | 00358456 | |
| Nuvama Wealth and Investment Limited | 12032300 | NSE Pool A/c SLBM | 00248658 | |
| Nuvama Wealth and Investment Limited | 12032300 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT-COMMODITY | 05041054 | - |
| Nuvama Wealth and Investment Limited | IN300719 | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT-COMMODITY | 11079892 | - |
| Nuvama Wealth and Investment Limited | 11000010 | BSE EARLY PAY-IN ACCOUNT | 00020685 | - |
| Nuvama Wealth and Investment Limited | 11000011 | NSE EARLY PAY-IN ACCOUNT | 00017404 | - |
| Nuvama Wealth and Investment Limited | 11000023 | NSE SLBS EARLY PAY-IN ACCOUNT | 00001420 | - |
| Nuvama Clearing Services Limited | IN300719 | NSE DERIVATIVES PHYSICAL DELIVERY ACCOUNT | 10511403 | IN517886 |
| Nuvama Clearing Services Limited | 12032300 | NSE POOL ACCOUNT - CDSL | 14421661 | - |
| Nuvama Clearing Services Limited | 11000011 | NSE EARLY PAYIN ACCOUNT CDSL | 00022110 | - |
| Nuvama Wealth & Investment Ltd | IN303719 | NSE TM POOL ACCOUNT FOR FO | 11140113 | - |

Note :- This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. SEBI / HO / MIRSD / DoP / P / CIR / 2022 / 44 dated April 04, 2022)

**Date**____________________ **Place**____________________

Acceptance of DDPI

I,______________________________________________________________________________

__________________________________________(Name, Address, Designation) on behalf of Nuvama Wealth and Investment Limited accept appointment as an agent under this DDPI and undertake the powers conferred hereunder shall be exercised by me and/or by any other person authorized by Nuvama Wealth and Investment Limited honestly, in accordance with the conditions and directions set out above.

(Date & Signature of Agent)______________________________

## Voluntary Authorisation Letter

From :

______________________________

______________________________

Date :

Client Code: ______________________

DP Client Code: ______________________

**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.

By ticking on YES you authorize NWIL to maintain the Trading Account as Running Account thereby adjusting any obligations and receivables.

Dear Sir,

**Subject : Voluntary Authorisation letter**

**1. Authorisation for Periodic Settlement of Funds and Securities** ☐ Yes ☐ No

a. To maintain my/our account on a running account basis and adjust any amounts receivable from me against any credits standing into my account or from my forthcoming payouts payable by me/ us to Nuvama Wealth and Investment Limited, where I am / we are registered with you as a Client.

b. I/We request you to keep my/our funds with you to meet my/our pay in obligations in the succeeding settlements in the same segment as well as other segments of BSE and/or NSE and/or MCX and /or NCDEX where I/We am/are registered with you as a Client.

c. Further it is observed that many times the date on which payment is due to me/us from you and the date which I am/ we are required to make payment to you are very close and therefore exchange of cheques become unnecessary paper work. Hence, I/We request you to maintain the running account facility with you.I/We agree that you shall not be required to pay any interest/ charges/ cost in respect of funds on a running account basis.

d. I/We hereby give my/our consent for periodic settlement of my /our funds.

e. I am /We areaware that in terms of SEBI circular CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated June 20, 2019 any excess securities available in your Client Collateral / Collateral account will be released to me/us along with funds settlement after making necessary retention as may be permitted by regulators.

However my/our preference for periodic settlement of funds and securities is as follows:-

a. Monthly ☐ b. Quarterly ☐ c) Daily ☐

f. I/We declare that this authorisation is revocable by me/us at any time without giving any prior notice of such revocation to Nuvama Wealth and Investment Limited

g. I/We agree that for any pay outs from my trading account, I/We specifically shall intimate about the same and Nuvama Wealth and Investment Limited shall upon due scrutinyof my account and upon adherence to its policy/procedure, shall release eligible amount to me/us. I/We agree that this authorisation shall have an equalbinding effect to the successors, executors and assigns of Nuvama Wealth and Investment Limited.

h. I/We hereby authorise you to transfer/adjust all the additional funds lying in my/our ledger account after meeting my obligations/dues, to the collateralaccount to avail exposure or keep all funds in your margin account with you to meet my margin obligations or keep the same with any exchange and/or withclearing member in the form of fixed deposit or any other form to avail exposure/meet margin requirements. This arrangement would be without anyconsideration or the funds so moved will not bear any interest/commission payable to me/is in the event of above arrangement.

**2. Authorization for receiving ECN's and any documents/communications in electronic form by E-mail from the Stock Broker (for Equity and Commodity Derivatives) and Depository Participant** ☐ Yes ☐ No

By ticking on YES you authorize NWIL to send all important communication like notices, contract notes etc. from NWIL by mail or SMS.

I am registered as a Client and having the captioned trading account and Depository account hereby authorize NWIL for the following: or SMS.

a) I/we authorize NWIL to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading 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 E-mail ID as mentioned hereunder:

b) 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 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.

c) 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 email ID and/or technical reasons.

To be continued....

d) I/We authorize NWIL to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated bymeans of a digital signature as specified in the information technology Act, 2000.

e) I/We understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, NWIL would sendphysical document to me. I/We further hereby agree that NWIL have fulfilled the legal obligation, if the above documents are sent electronically to the abovementioned e-mail ID. I 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 email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mailsreceived 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 havereceived such electronic mails.

I/We shall inform NWIL in writing if there is any change in my registered e-mail ID ____________________

**3. Authorisation for debiting various depository charges:-** ☐ Yes ☐ No

By ticking on YES you authorize NWIL to deduct all DP charges from your account.

a) I/We hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type oftransaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any othertax/charges/fees in/from my trading ledger having the captioned client code as maintained with NWIL. I understand and agree that such depository chargeswill be debited in my trading ledger maintained with NWIL irrespective of the ledger balance on periodically and/or as per the details provided by NWIL.

b) I/We instruct NWIL to provide the requisite information periodically and/or on occasion basis of such charges levied on me to NWIL with whom I/We have opened thetrading 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 from mytrading ledger. I/We hereby further authorize NWIL to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way ofappropriation 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 collateralor lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained withNWIL. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

**4. Sharing of Data & Information:-** ☐ Yes ☐ No

By ticking on YES you express your approval and interest in receiving information on various other financial products/services that NWIL has to offer.
You also allow NWIL to share your preferences with other allied businesses.

a. I/We have opened a trading account with NWIL having the captioned client code and demat account with NWIL-DP having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I/We am /are aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.

b) I/We authorize you, your group companies and associates to keep me informed with any financial product which Nuvama, its group companies and associatespresently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwiseas may be allowed.

c) I/We hereby voluntarily accept and expressly authorize NWIL to get the information from NWIL-DP or from any other Depository Participant of its group/associatecompanies with whom I have the Demat account and share/disclose or use in any manner, the information/documents/data about me and our transactions,with group of associates companies which is offering the products / facilities. Information provided by me in the Trading and Demat Account Opening Kit.Transaction cum holding statement with NWIL-DP and Any other related information. My holdings in stocks/securities. Ledger balances in my Trading/DematAccount across all Exchanges/Depositories.

d) I/We authorize you to the extent appropriate for our relationship with you, personal information may be shared for the following purposes : -

- to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations.
- to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country ofresidency), and to allow us to pursue remedies and limit damage.
- to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to performinternal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving newproducts and services, etc.
- to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services.

e) I/We have no objection to NWIL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This iswithout legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending suchinformation. I understand that I can opt out of these communications at any time by submitting a written request in physical or from my registered email id.

Name : ____________________ Place : ____________________

To be continued....

**5. Request for trading in commodity forward contracts/commodity derivatives on MCX and NCDEX** ☐ Yes ☐ No

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 date August 21, 2006, MCX/541/2006 dated December 7, 2006 and MCX/T&S/014/2012 dated January 12, 2012 issued by Multi Commodity Exchange of India Ltd (MCX) and I/We, the undersigned, have taken cognizance of circular no. NCDEX/TRADING-114/2006/247 date September 28, 2006, NCDEX/TRADING-070/2007/188 dated August 01, 2007 and NCDEX/TRADING-003/2012/010 dated January 10, 2012 on the guidelines for calculation of net open positions permitted in any commodity.

I/We hereby undertake to comply with the same. I/We hereby declare and undertake that we will not exceed the position limits prescribed form time to time by MCX/NCDEX NCDEX or SEBI and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX and MCX as notified from time to time.

I/We undertake to inform you and keep you informed if I/any of our Partners/directors/ karta /trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/ karta/trustee, takes or holds any position in any commodity forward contract/ commodity derivative on MCX/NCDEX through you or through any other member , to enable you to restrict our position limit as prescribed by the above referred circulars as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX / NCDEX only on the basis of our above assurances and undertaking.

**6. Acceptance of securities as collateral for any or all segment(s)** ☐ Yes ☐ No

I/ We, ______________________________ (PAN - ____________________ ) having my/our Trading Account with do hereby provide my / our consent/ authorisation to further pledge /deposit my/our securities lying with you or in my/our Beneficial account (Demat Account No) with the clearing member / clearing corporation for additional exposure availed by me / us during the period of my relationship with you.

I/ We hereby declares and assure that

(i) the said Securities are owned by me/us,

(ii) the Said Securities are in existence and are free from any charge, lien or encumbrance, whether prior or otherwise,

(iii) the Said Securities will be subject to the creation of pledge in favour of or for the benefit of Clearing corporation and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to clearing corporation would likewise be unencumbered, absolute and disposable property of the clients

(iv) Nuvama Wealth and Investment Limited or its Clearing Member is authorized to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary and the same shall be subject to terms and conditions as contained herein

(v) the Securities are subject to the first priority and lien in favour of Clearing corporation to secure, my/our obligations and that my/our rights or interests with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Clearing corporation in respect of the Said Securities

(vi) Clearing corporation may invoke the pledge without my reference or permission and upon receipt of the Said Securities, Clearing corporation may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against the Clearing Member and me / us

(vii) I/We shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

(viii) I/we hereby confirm that I/we read the terms and conditions to this effect and fully aware of the consequences of the same.

**7. Further Representations and Declarations cum Undertaking** ☐ Yes ☐ No

I / We represent, declare and undertake as under:

I. I / We maintain a trading account and also maintain Comtrack account with Nuvama Wealth and Investment Limited(Comtrack Participant) collectively herein referred toas 'Nuvama'.

II. I/ We intend to execute delivery based buy and/or sell transactions in such of the commodities allowed by MCX / NCDEX / other Commodity Exchanges and/ or by Nuvama through my/our trading and/or Çomtrack account maintained with Nuvama and for the purpose have read and understood theRules/Regulations / Terms and Conditions for delivery based trading stipulated by concerned Regulating Authority and/or Authorities and / or Nuvamaanddeclare and undertake to always comply / abide such rules/regulations/terms and conditions as may be applicable from time to time.

III. I/ We hereby declare that, I/we would undertake such delivery based commodity trading only upon knowing full consequences in respect of thelosseswhich may arise on any count including but not limited to the Fire, Flood, Earthquake, Burglary, and Spontaneous Combustion of Agro Goods kept

To be continued....

in the Commodity Exchange/s accredited or non-accredited warehouses in physical/electronic Form, liquidation of such commodity trades on expiry dates orotherwise.

IV. I/ We also undertake to bear all the losses arising on account of the seizure whichmay arise due to the stock holding limits which may be imposed by thedifferent states from time to time under the Essential Commodities Act,1955 and/or any other applicable regulations;

V. I/ We also undertake to accept the perils attached with Local Sales Tax Laws, and under applicable rules/laws including but not limited to the AgriculturalProduce Marketing Committee (APMC) or any other statutory bodys rules and the amendments thereto which may have the effect to change the entire value of the underlying commodities traded and/or held by me/us, at relevant times.

VI. With regard to Voluntary document tilted "Terms and Conditions" executed and submitted by me/us with Nuvama for the purpose of opening trading account and/or comtrack account with Nuvama herein referred to and more particularly clauses relating to "Trade obligations" and"Conditions" of the useof the services referred to therein, I/We herein further declare, undertake and irrevocably authorize Nuvama that:-

a) In case there were to be any default committed by me/us towards margin and/or other payments during the course of trading and more particularly commitment or continuation of any default by me/us on the Expiry date (Date) or the Final Expiry Date(FED) (Date) or under any other situation warranting such liquidation (Date) in respect of the commodity traded by me/us where such Date may be stipulated by the ConcernedRegulator/Commodity Exchange or Nuvama or accredited or non-accredited warehouse of the Exchange or its assayer where the commodityiskept by me/us, then in such a situation, I/we hereby specifically and severally authorize Nuvama to liquidate such commodity either in part or in full forand on my/our behalf and upon my/our cost upon such terms and conditions and in such manner as NWIL may be deem it fit and proper.

b) For the purpose of enabling Nuvama initiating actions contained herein above at clause I/We hereby further severally authorize Nuvama from time to time to take all requisite actions as may be deemed fit and proper including but not limited to appoint / engage C&F Agents and/or third parties for my / our behalf and at my/our cost, provide requisite instructions/writings to C&F Agents and / or third parties for and on my/our behalf for such liquidation trades / transactions, not allowing any further trade until settlement of dues is completed for such trades/transactions by me/us and to transfer suchcommodity to its pool account for and on my/our behalf for liquidation purposes so as to effectively carry out my/our instructions/authorizations herein contained and herein provided in favour of Nuvama.

c) I/We hereby further agree undertake and indemnify to fully reimburse and pay to Nuvama against all costs, charges, fees and/or expenses which Nuvama may have to incur while carrying-out the actions referred to herein this.

d) I/We hereby further declare and agree that this declaration cum undertaking forms part and parcel of KYC documents submitted by me/us to Nuvama and be always read and interpreted in conjunction therewith. Further, I/We hereby agree that in pursuance of this declaration cum undertaking, I/We hereby ratify all actions which may have been initiated by Nuvama relating to any of my /our trades and transactions; and

VII. I / We also further declare and undertake that I/We shall always indemnify and/or keep Comtrack Participant (Nuvama Wealth and Investment Limited) and / or to any of the associate / group companies of Nuvama with which I/We shall have dealings of whatever nature and any / all of its / their respective Directors/officials/employees and each of them always indemnified against all costs/charges and/or losses as may arise on account of each of them severally acting in pursuance of this declaration-cum-undertaking-cum-authorization and indemnification and further declare and undertake that under no circumstances it/they shall be severally held liable and/ or responsible for any cost/charges/loss incurred by me/us on account on any trades/transactions for any of the above mentioned events herein contained.

Trading Code: ____________________

Comtrack Account ID: ____________________

Name ____________________

Signature AS ____________________

Place: ____________ Date: ____________

| FATCA & CRS Declaration<br>*(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)* | | |
|---|---|---|
| **TAX RESIDENCE DECLARATION** *(tick any one, as applicable)* | | |
| ☐ Entity is a tax resident of India and not resident of any other country **OR** | | |
| ☐ Entity is 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 No. below | | |
| **Country** | **Tax Identification Number** % | **Identification Type (TIN or Other** %**, please specify)** |
| | | |
| | | |

***% In case Tax Identification Number is not available, kindly provide functional equivalent $***
***$ It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers.***
***If no TIN is yet available or has not yet been issued, please provide an explanation & attach this to the form***

In case the Entity's Country of Incorporation/ Tax residence is U.S. but Entity is not a Specified U.S. Person, mention
Entity's exemption code here: ______________________________ ***(Refer 3(viii) of Part D)***

## PART A
***(to be filled by Financial Institutions or Direct Reporting NFEs)***

| **Entity is a** | **GIIN** | **Name of sponsoring entity** |
|---|---|---|
| ☐ **Financial Institution** *[1] | | |
| **OR** | *Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name above.* | |
| ☐ **Direct reporting NFE** [2] | | |

In case GIIN not available, please tick any one below (as applicable) *(options available only for Financial Institutions)*

☐ ***Applied for***
☐ ***Not required to apply for*** *(Please specify sub-category[3] ______________________) Please provide with Form W8-BEN-E, duly filled in*
☐ ***Not obtained – Non-participating FI***

**If the entity is a FI and a tax resident outside India, please fill the below:*

| | |
|---|---|
| Are you from CRS Jurisdiction | ☐ Yes ☐ No *(If **No**, please answer the next question)* |
| *Please refer to List of Signatories to CRS @http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/ )* | |
| Are you an Investment Entity *(Refer 1(iii) of Part D)* | ☐ Yes ☐ No *(If **Yes**, please answer the next question)* |

Is the entity managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity and the gross income of the entity is primarily attributable to investing, re-investing, or trading in financial assets
☐ Yes ☐ No *(If **Yes**, please additionally fill **Part C**)*

## PART B
***(to be filled by NFEs other than Direct Reporting NFEs; please fill any one as appropriate)***

| ☐ ***Publicly traded company*** [4] *(i.e. a company whose shares are regularly traded on an established securities market)* | ☐ ***Related entity of a publicly traded company*** [5]<br>☐ *Subsidiary* ☐ *Controlled* |
|---|---|
| **Name of the stock exchange**<br>*(Please specify any one stock exchange on which the stock is traded)* | **Name of such publicly traded company** |
| | |
| | **Name of the stock exchange (any one)** |
| | |

| ☐ ***Active NFE*** [6] | | ☐ ***Passive NFE*** [7] | |
|---|---|---|---|
| **Sub-category** ((Refer 2c of Part D) | | **Nature of Business** | |
| **Nature of Business** | | | |

[1] Refer 1 of Part D in the Information booklet
[2] Refer 3(vii) of Part D in the Information booklet
[3] Refer 1A. of Part D in the Information booklet
[4] Refer 2a of Part D in the Information booklet
[5] Refer 2b of Part D in the Information booklet
[6] Refer 2c of Part D in the Information booklet
[7] Refer 3(ii) of Part D in the Information booklet

| PART C<br>*(to be filled only by Passive NFEs)* | | | |
|---|---|---|---|
| *Please list below the details of each controlling person(s) , confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling persons (Please attach additional sheets if necessary):* | | | |
| | **Controlling Person 1** | **Controlling Person 2** | **Controlling Person 3** |
| **Name** | | | |
| **Country of tax residency*** | | | |
| **Address (include City State, Country & Pin code)** | | | |
| **Telephone/ Mobile No. (with ISD code)** | | | |
| **TIN (or functional equivalent for each country identified in relation to each person%)** | | | |
| **Identification Type (TIN or Other, please specify)** | | | |
| **Controlling person type code [8]** | | | |
| *Additional details to be filled below* ***ONLY*** *by controlling persons having tax residency/permanent residency/citizenship in any country* ***other*** *than India including green card holders:* | | | |
| | **Controlling Person 1** | **Controlling Person 2** | **Controlling Person 3** |
| **Customer ID (if allotted)** | | | |
| **Gender** ***(Male, Female, Other)*** | | | |
| **City of Birth** | | | |
| **Country of birth** | | | |
| **Occupation Type** ***(Service, Business, Others)*** | | | |
| **Nationality** | | | |
| **PAN** | | | |
| **Father's Name** ***(if PAN not available)*** | | | |
| **Date of Birth** | | | |
| **Address type for address mentioned above** ***(Residence or business, Residential, Business, Registered office)*** | | | |
| **Identification Type** ***(Documents submitted as proof of identity of the individual)@*** | | | |
| **Identification Number (Mandatory if PAN** ***or Aadhaar number is not reported)*** | | | |
| **Spouse's name** ***(optional)*** | | | |
| **Aadhaar Number** ***(optional)*** | | | |

***To include US, where controlling person is a US citizen or green card holder**
**% In case Tax Identification Number is not available, kindly provide functional equivalent1**
**@ Permissible values are:**

- **Passport**
- **Election ID card**
- **PAN Card**
- **ID Card**
- **Driving License**
- **UIDAI Letter**
- **NREGA Job card**
- **Others**

[8] Refer 3(iv) (A) of Part D in the Information booklet

## CERTIFICATION

Under penalty of perjury, I/we certify that:

- I/We understand that the Nuvama Group is relying on this information for the purpose of determining the status of the account holder named above in compliance with FATCA/CRS. The Nuvama Group is not able to offer any tax advice on FATCA or CRS or its impact on the account holder. I/we shall seek advice from professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities, the Nuvama Group may also be required to report, reportable details to CBDT or other authorities/agencies or close or suspend my account, as appropriate.
- I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions and definitions in Part D to this Form) and hereby confirm that the information provided by me/us on this Form including the taxpayer identification number is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA Terms and Conditions below and hereby accept the same.

| AS | AS | AS |
|---|---|---|
| First Authorised Signatory | Second Authorised Signatory | Third Authorised Signatory |

Date: ____________________

Place: ____________________

This space is intentionally kept blank

## SEBI MARGIN TRADING FACILITY (MTF Facility)

### TERMS AND CONDITIONS

The terms and conditions governing MTF Facility provided by Nuvama Wealth and Investment Limited **(NWIL)** set out below **(T&C)** and forming part of the account opening form must be read in conjunction with the rights and obligations prescribed by the Securities and Exchange Board of India **(SEBI)** under SEBI circular no. CIR/ MRD/ DP/54/ 2017 dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligation, Guidelines and circulars issued by SEBI and the stock exchanges from time to time (hereinafter collectively referred to as **Regulatory Requirements**).

**A. For the Client (means and includes an individual, company, partnership firm, trust, Hindu undivided family, association of persons, body of individuals etc.) The Client agrees to and confirms, undertakes and authorizes that:**

**I. General:**

1. Avail the MTF Facility offered by NWIL in accordance with the T&C.

2. Consent to the T&C through email /SMS from his/its email id / mobile number registered with NWIL or by online mode by logging-in on the website of NWIL or by calling the relationship manager or the call centre through the registered mobile number or by physical mode.

3. The dues of the Client, wherever mentioned in the T&C, include but are not limited to the outstanding balances (Amount funded to client by NWIL), interest, statutory dues, taxes, duties, charges, penalties etc. in respect of the MTF Facility availed by the Client.

4. The T&C applicable to the grant of the MTF Facility and the obligations of the Client as amended from time to time is irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.

5. NWIL in its sole and exclusive discretion may or may not grant the MTF Facility to the Client. NWIL shall not be required to provide any reasons for either granting or refusal thereof nor shall NWIL be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of it refusing to grant the MTF Facility to the Client.

6. To communicate / indicate that the transaction is under the MTF Facility before placing the order with NWIL. If the transaction is entered under the MTF Facility, there will not be any further confirmation that it is a margin trading transaction other than the contract note issued on conclusion of the transaction.

7. Transaction/s to be considered for exposure to the MTF Facility shall be informed to NWIL in writing or in any other irrefutable mode of communication, including call to the relationship manager or call centre on a recorded land line on T day before close of the trading hours. In the absence of any such express communication, the transaction shall be considered under the normal trading facility. NWIL in its discretion may identify the eligible/excess securities available with the Client and mark the same as collateral towards the MTF Facility. All credit arising to the Client's account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.

8. Pay an interest equal to the Delayed Payment Interest charged into the Client's normal account or upto 30% p.a. interest or at the rate agreed from time to time on all outstanding payments.

9. NWIL at all times shall have the liberty to exercise its rights in its sole discretion to determine the extent to which the MTF Facility will be available to the Client.

**II. Requirement to Maintain Margin:**

10. Ensure required margin is maintained for the MTF Facility at all points of time as per the Regulatory Requirements and as specified by NWIL from time to time.

11. NWIL shall retain and/or pledge the securities of the Client, which are utilised for availing the MTF Facility, and /or retain its corporate benefits, if any, till the amounts due in respect of the transactions including the dues to NWIL are paid in full by the Client.

12. NWIL shall hold and / or appropriate the credit lying in the Client's account and/or any unutilized/ unpledged shares/ securities lying in the Client's demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under the MTF Facility.

13. All funds received by NWIL shall be credited firstly to the Client's Futures and Options margin account, secondly to the MTF Facility and thereafter to other accounts,if any. The movement of funds, for the purpose of maintenance of margin for various accounts, shall take place on the basis of requirement and availability of funds.



To be cont. ....

14. NWIL shall treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF Facility availed by the Client.

15. Subject to Regulatory Requirements, NWIL at its sole and absolute discretion may increase / revise the limit of initial margin and maintenance margin, minimum transaction amount from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, the Client agrees to make up the revised margin immediately. The Client shall make up the revised margin not later than 5 working days from the day of margin call, failing which NWIL in its discretion may exercise its right to liquidate the security / collateral and / or close out the position immediately.

16. Make good the deficient margin / margin call by placing further margin immediately, failing which, depending upon the market conditions and / or the volatility, NWIL in its discretion may exercise its right to liquidate the security / collateral and / or close out the position immediately.

17. The MTF Facility shall be provided only in respect of shares as permitted by Regulatory Requirements and/or NWIL from time to time.

**III. Closing out of position:**

18. Notwithstanding anything contained in clauses 15 and 16 above, NWIL may, in its sole discretion, determine the time to sell the securities to be liquidated, and / or which contract(s) is / are to be closed.

19. All losses and financial charges on account of such liquidation/closing out shall be charged to and borne by the Client.

20. On the happening of any of the following events, NWIL may, immediately and without any notice, liquidate the security / collateral and or close out the position of the Client:

    i. if any instrument for payment of Margin Money / Monies is / are dishonoured;

    ii. if the Client provides any incorrect or misleading information or violates or is in breach of any provision of the T&C; if there is a change in the constitution of the Client whether on account of admission of a new partner or retirement/death/insolvency of any partner or otherwise or if the Client has voluntarily or compulsorily become the subject of any proceedings under any bankruptcy/ insolvency law or winding up / liquidation proceedings or a receiver or liquidator has been appointed in respect of the Client's assets or makes an application or refers itself to any authority for being declared as a "sick company", relief undertaking, bankrupt or insolvent or seeking financial reconstruction or any other like scheme (by whatever name called) or is dissolved; the death, lunacy or any other disability of the Client;

    iii. if the Client has admitted its inability to pay his/its dues when they become payable or there is reasonable apprehension that the Client is unable to pay its outstanding dues;

    iv. if any order is passed by any regulatory authority, courts, etc. requiring NWIL to liquidate the security / collateral and/or close out the position of the Client or if the Client is convicted under any law in force;

    v. if any asset or any security is seized or made subject to any distress, execution, attachment, injunction or other process order or proceeding or is detained or taken into custody for any reason;

    vi. if Client defaults under any facility or arrangement with any stock broker. vii. there exists any other circumstance, which in the sole opinion of NWIL, is prejudicial to the interests of NWIL.

**IV. Communication:**

21. a Based on Client's preference, the Client accepts all types of communications to Client's email/message to registered mobile number of the Client/logging in on NWIL website or by physical mode relating to and including order / trade confirmation, revision in margin/ margin calls, decision to liquidate the position / security / collateral, margin statements, margin policies on haircuts / VAR margin, risk management policies, rights & obligations, etc.

**V. Miscellaneous:**

22. The MTF Facility may be withdrawn by NWIL, in the event of the Client committing any breach of any of the T&C or at any time after due intimation to the Client allowing such time to liquidate the MTF position as agreed herein, without assigning any reason.

23. In the event of termination of this arrangement, the Client shall forthwith settle the dues of NWIL. NWIL shall be entitled to immediately adjust the margin amount against the dues of the Client, and the Client hereby authorizes NWIL to make such adjustment. If any further amount is due from the Client to NWIL, after such adjustment, then the Client shall forthwith settle the same. NWIL shall release the balance amount to the Client upon full settlement of all the dues of the Client to NWIL.



To be cont. ....

24. NWIL may release/ unpledge / transfer the securities utilized for the MTF Facility within 5 working days of the Client clearing the dues to NWIL.

25. A protest /disagreement with any transaction, document, statements, contract notes or any communication under the MTF Facility shall be lodged by the Client within 24 hours from the date of receipt of the same.

26. Subject to clearing NWIL's dues, the Client can close/terminate the MTF Facility at any time.

27. Any dispute in connection with the MTF Facility arising between the Client and NWIL shall be referred to the investor grievance redressal mechanism, arbitration mechanism of the relevant stock exchange.

28. The Client must before deposit and/or purchase of any securities belonging to the promoters/promoter group; intimate the nature of the same to NWIL before deposit and/or purchase of the securities for availing MTF Facility, failing which the same will be treated as non-promoter holding.

29. The terms and conditions and amendments made by NWIL from time to time, to the T&C, shall be communicated to the clients which shall inter alia include making it available on NWIL's website: www.nuvamawealth.com

**B. For NWIL**

**NWIL agrees to and undertakes and confirms that:**

**I. Maintenance of Margin:**

30. The Client can, at anytime, replace the securities provided towards collateral for the MTF Facility, as long as the said securities are approved for margin trading.

31. The Client's positions with regard to the MTF Facility will be monitored and reviewed on a continuous basis.

32. To the extent the Client is eligible and subject to the required margin being available, additional exposure over the debit balance may be granted NWIL shall, in its sole discretion will identify the eligible/excess securities available with the Client and mark the same as collateral towards the MTF Facility. All credit arising to the Client's account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.

33. NWIL shall clearly indicate the additional / deficient margin to be made good by the Client when it makes a 'margin call' to the Client.

34. If NWIL liquidates the Client's securities, the contract note issued for such margin call related transaction shall carry an asterisk or identifier that the transaction has arisen as a result of a margin call.

35. The daily margin statements sent by NWIL to the Client shall identify the margin/collateral for MTF Facility separately.

**II. Closing/Termination of Account:**

36. Upon receipt of a request from the Client to close/terminate the account of the Client, NWIL shall forthwith close/terminate the same subject to payment by the Client of all its dues under the MTF Facility.

37. If for any reason whatsoever NWIL surrenders the MTF Facility or ceases to be a member of the stock exchange or the stock exchange withdraws the MTF Facility provided to NWIL then the margin trading arrangement between NWIL and the Client shall be terminated.

38. Subject to clearing all dues payable to NWIL, the Client may opt to terminate the MTF Facility, in the event of NWIL committing any breach of any terms or conditions herein or for any other reason.

39. Upon the Client opting to terminate the MTF Facility and on payment of all the dues payable by the Client to NWIL, NWIL shall return to the Client all the collaterals provided and funded securities retained forthwith, but not later than 5 working days from the date of such payment.

**III. Miscellaneous:**

40. The Client shall, after paying all dues, be free to take the delivery of the securities at any time by repaying the amounts paid by NWIL to the exchanges towards the securities.

41. NWIL shall issue appropriate records to communicate to the Client the change in status of a transaction from normal to MTF Facility, if the Client determines to convert a normal trade into MTF after the issuance of a contract note, and shall include information like the original contract number and the margin statement and the changed data.



To be cont. ....

42. If there is no transaction for 90 days in a Margin Trading Account and if there are any outstanding dues from client then the account shall be settled immediately.

43. The stocks deposited as collateral with NWIL (Collaterals) for availing the MTF Facility and the stocks purchased under the MTF Facility (Funded stocks) shall be separately identifiable and there shall not be any co-mingling for the purpose of computing funding amount.

44. The funds of one Client shall not be used to provide MTF Facility to another Client even if so authorised by the first Client.

45. Investor Protection Fund (IPF) will not be available for transactions done on the exchanges, through the MTF Facility, in case of any losses suffered in connection with the MTF Facility availed by a Client.These T& C are supplemental to and do not supersede the terms and conditions contained in the mandatory documents executed by the Client such as KYC forms, Rights & Obligations etc., as also the Rules, Regulations, Bye-laws, circulars of the exchanges, directives and guidelines of regulatory authorities.

**RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY STOCK BROKER/ TRADING MEMBER TO CLIENTS – BSE**

1. Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.

2. Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission at anytime.

3. Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time. Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.

4. Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.

5. Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.

6. Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.

7. Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in the which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):

8. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.

9. The stocks deposited as collateral with the Stock Broker/ Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount

10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011.

**RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS - NSE**
**FOR**
**MARGIN TRADING FACILITY (MTF)**

**CLIENT RIGHTS**

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.



To be cont. ....

2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.

3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.

4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

**CLIENT OBLIGATIONS**

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.

2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility

3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.

4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.

5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.

6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

**STOCK BROKER RIGHTS**

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.

2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.

3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.

4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

**STOCK BROKER OBLIGATIONS**

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.

2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.

3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.

4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.

5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.



To be cont. ....

6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.

7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.

8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.

9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.

10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.

11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.

12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;

13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

**TERMINATION OF RELATIONSHIP**

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.

2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.

3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.

4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.

5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

AS

First Authorised Signatory

AS

Second Authorised Signatory

AS

Third Authorised Signatory

Date: ______________________ Place: ______________________

## Mutual Fund Confirmations

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 Sir,

**Subject: BSE Star MF / MFSS**

I/We ________________________________________ am/are registered as your client with Client Code No. ______________ and have entered into relationship with the Trading Member for the purpose of trading in the Capital Market Segment of Bombay Stock Exchange Ltd. (Exchange) and National Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF and MFSS on the Exchange.

I/we am/are provides my consent for mutual fund trading against collateral lying my account. Also, aware that in event of non clearance of debit in my/our trading accounts; there is risk of stock collateral or MF collateral getting liquidated to extent of my/our ledger debit for recovery of trading debit.

For the purpose of availing this BSE STAR MF & MFSS facility, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF & MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mention in the circular dated December 2,2009 and such other Notices/Circulars as may be specified by the Exchange/ICCL from time to time in this regards, for BSE STAR MF and Terms & Conditions mentioned in circular No. NSE/MFSS/003/2001 download Ref. No. NSE (MIC/13533) dated November 24, 2009.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in BSE STAR MF and MFSS.

Thanking you,

Yours faithfully,

AS

Client Name ______________________________

Client Signature / Authorised Signatories
(Please sign in blue ink only)

Demat A/c No. ______________________________

Date ______________________________

1st Holder ______________________________

Place ______________________________

2nd Holder ______________________________

3rd Holder ______________________________

## Know Your Tariff Plan

**Standard Brokerage Plan:**

| Plan | Delivery Date | Futures* and Intraday Cash | Options Premium Rate | Currency Future Rate | Currency Options Premium |
|---|---|---|---|---|---|
| **Silver** | 0.50% | 0.05%** | 2.50% or Rs. 300/- per lot | 0.03% | Rs. 15/- per lot |

** Futures include: Stock Futures, Index Futures as well as Currency Futures, ** On each Leg.*

- ➢ Brokerage rate of 0.5% for all clients on acceptance of shares that are tendered in any buyback offer
- ➢ Minimum brokerage per order of Rs 25 (subject to maximum of 2.5%)or maximum slab as per the regulatory guidelines will be levied.
- ➢ In case Physical delivery is taken in derivatives segment above Delivery rate will be applicable.

## NUVAMA WEALTH AND INVESTMENT LIMITED (NWIL) DP ID – 12032300

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

AS

First Authorised Signatory

AS

Second Authorised Signatory

AS

Third Authorised Signatory

Date: ____________________ Place: ____________________

# Tariff / Brokerage Sheet (Commodity)

## NUVAMA WEALTH AND INVESTMENT LIMITED

| COMMODITY FUTURES | | | | |
|---|---|---|---|---|
| TRADING | 1ST LEG | | 2ND LEG | |
| TYPE | PERCENTAGE | MINIMUM | PERCENTAGE | MINIMUM |
| INTRADAY | % | (Ps.) | % | (Ps.) |
| SETTLEMENT | | | % | (Ps.) |
| DELIVERY | % | (Ps.) | | |

| COMMODITY OPTIONS | | | | |
|---|---|---|---|---|
| TRADING | 1ST LEG | | 2ND LEG | |
| TYPE | PERCENTAGE | MINIMUM | PERCENTAGE | MINIMUM |
| INTRADAY | % | (Ps.) | % | (Ps.) |
| SETTLEMENT | | | % | (Ps.) |
| DELIVERY | % | (Ps.) | | |

Terms & Conditions:

a) In addition to the above mentioned brokerage all statutory/regulatory levies and other charges including but not limited to Exchange Transaction charges, Commodity Transaction Tax, Warehouse charges, VAT, Stamp Duty (as applicable state wise), Service Tax, GST and any other charges which may be levied by Exchange or any regulatory/ government authorities shall be charged/recovered from you separately over and above the brokerage rate as per current applicable rate and if there is any revision in the rates, the same will be applicable. Any change in the statutory levies, if any, shall be reflected in the respective contract note.

b) Delayed payment charges not exceeding 2.5% p.m. on the debit balances if any, in client's ledger account and not settled by the client within the stipulated time frame.

c) Auction charges, penalties, fines levied by Exchange/s or any other regulatory authority for client limit violation/ short margin/client code modification/delivery default or for any other violation/default as the case may be, will be charged on actual basis.

d) In the event of cheque bounce Rs 250/- per instance, will be debited.

I/We have understood and agreed the above terms & conditions related to the charges listed above being charged to me/us, as applicable and agree to abide by the same.

AS

First Authorised Signatory

AS

Second Authorised Signatory

AS

Third Authorised Signatory

Date: ____________________ Place: ____________________

(The authorization shall be signed by the client only and not by any person authorized on his behalf)

Nuvama does not accept any fees / payments / charges in cash.

Please do not make any payment in cash

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

## FINANCIAL STATUS AND OTHER DETAILS

a. **Annual Income (Last 3 years from the date of the opening of this account)**

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

**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

**3nd 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 to 5 crore ☐ Above 5 crore

**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 / NPO and organizations receiving donations
Do you receive foreign contribution or donation from foreign sources ? YES ☐ NO ☐
*Note: *In order to receive foreign contribution or donation from foreign sources, entities such as NGO, NPO, Charitable Trusts, Societies are required to be registered under Section 6(1) of Foreign Contribution Regulation Act, 2010. As per FCRA foreign contributions cannot be invested in Mutual Funds and other speculative investment.*

☐ 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 commodities 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

| AS | AS | AS |
|---|---|---|
| First Authorised Signatory | Second Authorised Signatory | Third Authorised Signatory |

## Mutual Fund confirmations

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 Sir,

**Subject: BSE Star MF / MFSS**

I/We ________________________________________ am/are registered as your client with Client Code No. ______________ and have entered into relationship with the Trading Member for the purpose of trading in the Capital Market Segment of Bombay Stock Exchange Ltd. (Exchange) and National Stock Exchange Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF and MFSS on the Exchange.

I/we am/are provides my consent for mutual fund trading against collateral lying my account. Also, aware that in event of non clearance of debit in my/our trading accounts; there is risk of stock collateral or MF collateral getting liquidated to extent of my/our ledger debit for recovery of trading debit.

For the purpose of availing this BSE STAR MF & MFSS facility, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF & MFSS and I/We further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mention in the circular dated December 2,2009 and such other Notices/Circulars as may be specified by the Exchange/ICCL from time to time in this regards, for BSE STAR MF and Terms & Conditions mentioned in circular No. NSE/MFSS/003/2001 download Ref. No. NSE (MIC/13533) dated November 24, 2009.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in BSE STAR MF and MFSS.

Thanking you,

Yours faithfully,

Demat A/c No. ________________________________________

1st Authorised Name ____________________________________

2nd Authorised Name ____________________________________

3rd Authorised Name ____________________________________

AS

First Authorised Signatory

AS

Second Authorised Signatory

AS

Third Authorised Signatory

Date : ____________________

Place : ______________________________

**In case of Non-Individuals, additional documents to be 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).<br>• Copy of latest share holding pattern including list of all those holding control, either oirectly 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).<br>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.<br>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.<br>• Copies of the Memorandum and Articles of Association and certificate of incorporation.<br>• Copy of the Board Resolution for investment in securities market.<br>• Authorised signatories list with specimen signatures. |
| **Partnership firm** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered partnership firms only).<br>• Copy of partnership deed.<br>• Authorised signatories list with specimen signatures.<br>• Photograph, POI, POA, PAN of Partners. |
| **Trust** | • Copy of the balance sheets for the last 2 financial years (to be submitted every year).<br>• Certificate of registration (for registered trust only).<br>• Copy of Trust deed.<br>• List of trustees certified by managing trustees/CA.<br>• Photograph, POI, POA, PAN of Trustees. |
| **HUF** | • PAN of HUF<br>• Deed of declaration of HUF/ List of coparceners.<br>• Bank pass-book/bank statement in the name of HUF.<br>• Photograph, POI, POA, PAN of Karta. |
| **Unincorporated association or a body of individuals** | • Proof of Existence/Constitution document.<br>• Resolution of the managing body & Power of Attorney granted to transact business on its behalf.<br>• Authorized signatories list with specimen signatures. |
| **Army / Government Bodies** | • Self-certification on letterhead.<br>• Authorized signatories list with specimen signatures. |
| **Registered Society** | • Copy of Registration Certificate under Societies Registration Act.<br>• List of Managing Committee members.<br>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.<br>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. |

NACH / ECS / AUTO DEBIT UMRN Date D D M M Y Y Y Y

**MANDATE INSTRUCTION FORM**

Ticket (✓)

| |
|---|
| CREATE |
| MODIFY |
| CANCEL |

Sponsor Bank Code

Utility Code

I/We hereby authorize **BSE Limited** to debit (tick ✓) SB / CA / CC / SB-NRE / SB-NRO / Other

Bank a/c number

with Bank IFSC or MICR

an amount of rupees

FREQUENCY ☐ Monthly ☐ Quarterly ☐ Half Yearly ☐ Yearly ☑ As & when presented DEBIT TYPE ☐ Fixed Amount ☑ Maximum Amount

Reference 1 (Mandate Reference No.) Phone no.

Reference 2 (Unique Client Code-UCC) Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From D D M M Y Y Y Y

To D D M M Y Y Y Y

Or ☑ Untilled Cancelled

1. 2. 3.

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me.
- I have understood that I amauthorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

(Please Tear Here)

## Acknowledgment Receipt

**Application No.** **Date :**

We hereby acknowledge the receipt of the Account Opening Application Form:

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

**Depository Participant Seal and Signature**

**Registered Office / Corporate Office :**
801 - 804, Wing A, Building No. 3, Inspire BKC, G Block, Bandra Kurla Complex, Bandra East, Mumbai – 400 051
Contact at +91-22-66203030 • Customer Care : 1800-102-3335