



**Wealthstreet**  
The Financial Engineers

## PART - A

### KNOW YOUR CLIENT (KYC) APPLICATION FORM

## INDEX

#### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI UNDER NOTIFICATION NO. CWMIRSD/16/2011 (22.08.2011)

Sr. No.	Name of the document	Brief significance of the document	Page No.
1.	Know Your Client or Account Opening Form	<ul style="list-style-type: none"> <li>Checklist Account opening form supplement</li> <li>KYC Form - Document captures basic information about the constituent (for Individuals)</li> <li>Details of Constituent pertaining to bank account / Depository / Past actions and other Details.</li> <li>Details pertaining to Beneficiary Owner</li> </ul>	1 - 8

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Also the client can access the same at our web address too.

S. No.	Non Mandatory		Page No
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#### IMPORTANT NOTE

##### 1. Signature Types:



Signature of Client / First Holder



Signature of Second Holder



Signature of Third Holder



Signature of Guardian



Signature of First Witness



Signature of Second Witness



Signature of Introducer



Authorised Signatory

## CHECKLIST FOR KYC (PLEASE TICK WHEREVER APPLICABLE)

CKYC Reference No.: 14 DIGITS KYC NUMBER

Valid Documents (Copies of all documents to be self attested)		Please Tick
<b>PAN Card</b>	Account Holder & Joint Holder's (If any)	
<b>Photograph</b>	One Colored Passport Size Photograph	
<b>Additional Proof of Identity</b> (Any One)	a. PAN Card	<input type="checkbox"/> KRA document used (Email Id & Phone number to be provided on given KRA Form)
	b. Voter ID	
	c. Valid Pass ort	
	d. Valid Driving License	
	e. Unique Identification Number (UID) (Aadhaar)	
	f. Other (Pls. Specify) _____	
<b>Proof of Address</b> (Any One)  Permanent / Correspondence	a. Voter ID	<input type="checkbox"/> KRA document used
	b. Valid Passport	
	c. Valid Driving License	
	d. Unique Identification Number (UID) (Aadhaar)	
	e. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	
	f. Electricity Bill (not more than 3 months old)	
	g. Resident Landline Tel. Bill (not more than 3 months old)	
	h. Other (Pls. Specify) _____	
<b>Bank Proof With MICR I IFSC Code</b> (1st Holder only)	a. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	b. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	c. Cancelled Personalized Cheque leaf	
<b>Demat Proof</b> (Any One) (1st Holder only)	a. Client Master (CML copy duly attested by DP)	
	b. DP Statement / Transaction cum Holding Statement (Duly attested by DP)	
<b>Proof of Income</b> (Any One) Mandatory for Derivatives Segments) (1 st Holder only)	a. Copy of latest ITR acknowledgment	
	b. In case of salary income - Salary Slip, Copy of Form 16	
	c. Net-worth certificate (Not more than 1 year old)	
	d. Copy of Demat Account Holding Statement (not more than 3 months old)	
	e. Bank Account Statement for last 6 months reflecting income	

### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name				
		First Holder	Second Holder	Third Holder
1.	Are you Tax payer of any other country other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (If above clause is no)			
3.	Specify Tax Identification No. / Others			

Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from [www.wealthstreet.in](http://www.wealthstreet.in) or call at KYC Helpdesk at (079) 66775500 or write to [helpdesk@wealthstreet.in](mailto:helpdesk@wealthstreet.in)



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

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

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked are pertaining to CKYC and mandatory only if processing CKYC also

**Wealthstreet Financial Services Pvt. Ltd.**

Formerly Known as WEALTHSTREET ADVISORS PRIVATE LIMITED

Registered Office: A-1101, Mondeal Heights, S.G Highway, Ahmedabad-380015

**CDSL VENTURES LIMITED**

Exploring New Horizons

Application Number: \_\_\_\_\_

Application Type\*: ☐ New KYC ☐ Modification KYC**KYC Mode\***: Please Tick (✓)☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker**1. Identity Details** (please refer guidelines overleaf)**PAN\*** \_\_\_\_\_

Please enclose a duly attested copy of your PAN Card

**Name\*** (same as ID proof) \_\_\_\_\_**Maiden Name+** (if any) \_\_\_\_\_**Fathers/Spouse's Name\*** \_\_\_\_\_**Mother's Name\*** \_\_\_\_\_**Date of Birth\*** \_\_\_\_\_**Gender\***☐ Male ☐ Female ☐ Transgender**Marital Status\***☐ Single ☐ Married**Nationality\***☐ Indian ☐ Other \_\_\_\_\_**Residential Status\***☐ Resident Individual ☐ Non Resident Indian  
☐ Foreign National ☐ Person of Indian Origin +

Please Tick (✓)

Recent Passport size  
Applicant Photo

Cross Signature across photograph

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

**Proof of Identity (POI) submitted for PAN exempted cases** (Please tick)

- ☐ A — Aadhaar Card XXXX XXXX \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ C — Voter ID Card \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ D — Driving License \_\_\_\_\_
- ☐ E — NREGA Job card \_\_\_\_\_
- ☐ F — NPR \_\_\_\_\_
- ☐ Z — Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\*** (please refer guidelines overleaf)**A. Correspondence/ Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_ Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Occupation  
(Please Tick)**

- ☐ S-Service ( ☐ Private Sector ☐ Public Sector ☐ Govt Sector )
- ☐ O-Others ( ☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student )
- ☐ B-Business ☐ X-Not Categorized

Applicant e-SIGN

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

Line 1\*

Line 2

Line 3

City/

Town/Village\*

District

Pin Code\*

State\*

Country\*

Address Type\*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

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

A — Aadhaar Card

XXXX XXXX

☐

B — Passport Number

(Expiry Date)

☐

C — Voter ID Card

☐

D — Driving License

(Expiry Date)

☐

E — NREGA Job card

☐

F — NPR Letter

☐

Z — Others

(any document notified by Central Government)

Identification Number

**3. Contact Details (in CAPITAL)**

Email ID\*

Mobile No. \*

Tel (Off)

Tel (Res)

**4. Applicant Declaration**

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

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

DATE: (DD-MM-YYYY)

PLACE:

Applicant e-SIGN / WetSign

**5. For Office Use Only**

In-Person Verification (IPV) carried out by\*

IPV Date

Emp. Name

Emp. Code

Emp. Designation

Intermediary Details\*

☒

Self certified document copies received (OVD)

☒

True Copies of documents received (Attested)

AMC / Intermediary Name :

**WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED**

Employee Signature and Stamp



Institution Name and Stamp

**ADDITIONAL KYC DETAILS FOR DEMAT ACCOUNT****Type of Account - Individual (please tick whichever is applicable)**

<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Other specify _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depositor Receipts <input type="checkbox"/> Other (specify) _____	

**Guardian details (where sole holder is a minor):**

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name										
PAN										
Relationship of Guardian with minor										

**STANDING INSTRUCTIONS / OTHER DETAILS / EMAIL-SMS ALERT / CONTRACT NOTE PREFERENCE**

I / We request you to send Electronic Transaction-cum-Holding Statement at Sole / First Holders Email ID stated in the Account Opening Form or at	<input type="checkbox"/> Yes <input type="checkbox"/> No
Contract Note & Statement Requirement Mode	<input type="checkbox"/> Physical <input type="checkbox"/> ECN
I / We instruct the DP to receive each and every credit in my / our account	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
To share email id with Registrar & Transfer Agent (RTA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Dividend / Interest to receive in bank account stated in KYC via ECS	<input type="checkbox"/> Yes <input type="checkbox"/> No
To avail facility of Internet Trading & Wireless Technolog	<input type="checkbox"/> Yes <input type="checkbox"/> No
To receive Annual Report in Electronic mode	<input type="checkbox"/> Yes <input type="checkbox"/> No
To receive Rights & Obligations, RDD, Guidance Note, Policies & Procedures & all non mandatory documents in electronic and also displayed for information on website <a href="http://www.wealthstreet.in">www.wealthstreet.in</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Running Account Settlement	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulation
Declaration for Email	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dep.Child <input type="checkbox"/> Dep.Parent
Declaration for Mobile Number	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dep.Child <input type="checkbox"/> Dep.Parent

Note: To register for Easi please visit website [www.cdslindia.com](http://www.cdslindia.com), where BO can view ISIN balances, transactions & portfolio online.

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002 & OTHER DETAILS**

Experience	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>
Gross Annual Income	<input type="checkbox"/> Up to 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs Net Worth in _____ as on date _____ <small>(*Net worth should not be older than 1 year)</small>






**Details For First Holder**

Nature of business: (Products / services provided)	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____
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**Details For Joint Second Holder**

Nature of business: (Products / services provided)	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____
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<b>Details For Joint Third Holder</b>			
Nature of business: (Products / services provided)	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____		
Guardian Details	Name:	PAN	
	CKYC Reference No..	Relation	
Is the Client Politically Exposed Person (PEP) or Related to a PEP <input type="checkbox"/> Yes <input type="checkbox"/> No			
Transactions Using Secured Texting Facility (TRUST). Refer Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility I have read and understood the Terms and Conditions prescribed by CDSL for the same <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BOID registered for TRUST		
		Stock Exchange Name/ID	Clearing Member Name

ADDITIONAL KYC DETAILS FOR TRADING ACCOUNT			
<b>Status of Introducer</b> <input type="checkbox"/> Sub-Broker / AP <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Specify)			
<b>Introducer Name:</b>		SB/AP/Emp /Client Code:	
Address of SB/AP:			
Mobile No:		Relation CKYC No:	
<b>Signature of the Introducer</b>			
DEALING THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) OTHER STOCK BROKERS			
If Yes, please specify:			
Name of Broker/SB/AP		SEBI Registration No	
Name of Exchange		Tradin Code	
Details of disputes/dues pending from/to such stock broker/sub-broker:			
Whether you are a Member / Sub-broker I AP of any Exchange <input type="checkbox"/> Yes <input type="checkbox"/> No			
BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED FOR DIVIDEND & PAYOUT OF FUNDS)			
<b>Branch Location:</b>			
Account No.	<input type="checkbox"/> Savings <input type="checkbox"/> Current		
MICR Code		IFSC Code	
Bank 2 : Bank Name & Branch Location:			
Account No.	<input type="checkbox"/> Savings <input type="checkbox"/> Current		
MICR Code		IFSC Code	
DEPOSITORY ACCOUNT DETAILS (DP1 DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)			
DP 1 Details		DP 2 Details	
Depository	<input checked="" type="checkbox"/> CDSL	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL
DP Name			
Client Name			
DP ID			
BO ID			
UCC CODE			
TRADING PREFERENCES   *Please sign in the relevant tmes where you wish to trade. The chosen should be struck off by the client			
Exchanges	Segment	Client Signature	
NSE / BSE	Cash	Signature of Applicant	
NSE / BSE	Derivative	Signature of Applicant	
NSE / BSE	Currency Derivative	Signature of Applicant	
<b>FOR ALL SEGMENTS PLEASE SIGN HERE</b>		Signature of Applicant	
If you don't want to trade in any segment, mention here			
PAST ACTIONS			
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters /whole time directors /authorized persons in charge of dealing in securities during the last 3 years:			
<input type="checkbox"/> NO <input type="checkbox"/> Yes   If yes, please specify			

## DECLARATION ACCEPTANCE FOR DEMAT & TRADING ACCOUNT

1. I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

2. I confirm having read/been explained and understood the contents of the document on policy and procedure of the stock broker and the tariff sheet, and all voluntary / non-mandatory documents.

3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Guidance Note' with 'Policy and Procedures' Do's and Don'ts for stock and commodities segment] do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website [www.wealthstreet.in](http://www.wealthstreet.in).

1)Account Opening Form, 2)Document stating the Rights & Obligations of stock broker, and client for trading on exchanges including additional rights & obligations in case of internet / wireless technology based trading, 3)Document stating the Rights & Obligations of stockbroker for Margin Trading Facility, 4)Uniform Risk Disclosure Documents for all segments / exchanges, 5)Guidance Note detailing Do's and Don'ts for trading on exchanges, 6)Most Important Terms & Conditions, 7)Policies and Procedures – Document describing significant policies and procedures of the stock broker.,8)Depository Refights and Obligation.

### Non-mandatory Part

1.Tariff Sheet, 2.Running Account Authorisation,3.DDPI, 4. Star MF

4. The rules and regulations and Bye laws of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and we agree to abide by and to be bound by the rules, regulations and bye laws as are in force from time to time for such accounts, 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. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

FH  
6/11

(First/Sole Holder Signature)

SH  
3/5

(Second Holder Signature)

TH  
3/5

(Third Holder Signature)

Date : DD / MM / YYYY

Place : PLACE

### Notes :

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

5.	<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO. +91 _____ [[Mandatory, If you are giving Power of Attorney ( POA ) / (DDPI) ] ( If POA is not granted & you do not wish to avail of this facility, cancel this option).	
	<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

## MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS ( Transfer, Pledge & Freeze)

☐ Sole Holder ☐ Jointly ☐ Anyone of the Holder

Consent for Communication to be by first account holder / all holder. ( Tick the applicable box, if not marked the default option would be first holder)

☐ First Holder ☐ All Holder ☐ Second Holder ☐ Third Holder email ID

**NOMINATION DETAILS (FOR INDIVIDUALS ONLY)**

To,

**WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED**Formerly Known as : **WEALTHSTREET ADVISORS PRIVATE LIMITED**Registered Office: A-1101, Mondeal Heights,  
S.G Highway, Ahmedabad-380015

Registration No. :

UCC :

Client ID

I/We the sole holder / joint holders / guardian (in case of Minor) here by declare that;

I/We wish to make nomination and do hereby nominate following person(s) who is/are entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of death of the sole holder or death of all joint holders.

**Note** Nomination can be made upto three nominations.**BO Account Details**

DP ID	1	2	0	8	5	5	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second Holder																	
Name of Third Holder																	

☐ I/We Wish to make a nomination and do here by nomination the following persons who Shall receive all the assests held in my/our account in the event of my / our death.
**Mandatory Details**

Nomination Details		Nominee 1	Nominee 2	Nominee 3
Name of the Nominee				
Share of each Nominee	Equally (If not equally, please specify %)	%	%	%
	Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
Relationship with Applicant (if any)				
Address of Nominee(s)				
City / Place				
Pin Code				
Mobile / Tel				
Nominee Email ID				
Nominee Identification Details (Please tick any one of following and provide details of same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Bank Account no. <input type="checkbox"/> Proof of Identit <input type="checkbox"/> Demat Account ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Passport				

**Below details should be filled only if nominee(s) is a minor**

Date of Birth (in case of minor nominee(s))			
Name of Guardian (in case of minor nominee(s))			
Relationship with Applicant (if any)			
Address of Nominee(s)			
City / Place			
Pin Code			
Mobile / Tel			
Nominee Email ID			

**Nominee Identification Details**  
(Please tick any one of following and provide details of same)

- ☐ Photograph & Signature  
☐ PAN    ☐ Aadhaar  
☐ Bank Account no.  
☐ Proof of Identity  
☐ Demat Account ID  
☐ Driving Licence  
☐ Passport

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

**Note:**

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

Details of the Witness	Witness Details
Name of witness	
Address of witness	
Signature of witness	

**Declaration Form for opting out nomination**

**BO Account Details**

DP ID	1	2	0	8	5	5	0	0	Client ID									
Name of the Sole / First Holder																		
Name of Second Holder																		
Name of Third Holder																		

- ☐ I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

**Note:**

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

Details of the Witness	Witness Details
Name of witness	
Address of witness	
Signature of witness	

# BROKERAGE TARIFF DETAILS

Mention on percentage or paisa very clearl	Trading I Intra-day first leg-second leg	Minimum (mention on percentage or paisa)	Delivery (Cm) I Carry forward (f&O)	Minimum (mention on percentage or paisa)	Minimum (per Options contract Rs. per lot)
CM Segment					NA
F&O Segment					
Currency					
Schedule of Charge Structure for DEMAT Services Individual Investor					
SERVICE	BSDA** SCHEME	DP SCHEME *			LIFE TIME FREE AMC
		REGULAR	LIFE TIME		
Annual Maintenance Charge	NIL**	Rs.400/- 1st Year Free	Rs.1500/-		FREE
Transfer (Buy/Debit)	NIL	NIL	NIL		NIL
Transfer (Sell/Debit) Market WFSPLAccount	Rs.25/-	Rs.15/-	Rs.20/-		Rs.25/-
Market /off Market Transfer Other than WFSPL	Rs.50/-	Rs.30/-	Rs.40/-		Rs.50/-
Demat	Rs.5 /- Per Certificate with min Rs.40/- Per request + Rs.50/- Postage Charges per request				
Remat	Rs.50 /- Postage Charges Rs.11 /- Per 100 Securities / Rs.20/- Per Certificate whichever is higher, Maximum 500000/-				
Pledge Creation		Rs. 25/- Per ISIN			
Pledge Closure/Invocation		Rs. 25/- Per ISIN			
Margin Pledge		Rs. 25/- Per ISIN			
Margin Unpledge		Rs. 25/- Per ISIN			
Freeze-De-Freeze		Rs. 50/-			
Failed Instruction Charges		NIL			

\*\* Nil for holding < Rs. 4,00,000/-

\*\* Holding from Ps. 40,001/- to Rs.10,00,000/- AMC of Rs. 100/-

\*\* Holding > Rs.10,00,000/- yearly AMC account tariff applicable

I/We wish to avail BSDA facility : ☐ Yes ☐ No

If I/We am/are found to be not eligible for BSDA scheme due to non-fulfilment of criteria prescribed by SEBI, then the default scheme applicable shall be yearly AMC.

## Notes:

- We reserve the rights to change/add charges with 30 days prior notice.
- Charges/Tariffs shall be revised / changed at WFSPL is discretion, intimation of which shall be done by E-mail/Post
- For account opening charges/annual maintenance, cheques required Payable at Par/DD.
- All payments should be in favour of "Wealthstreet Financial Services Private Limited".
- The above rates are exclusive of Stamp Duty, Exchange Transaction charges, Securities Transaction Tax, SEBI Turnover Charges and GST which will be charged extra at the rate prevail ing from time to time. Further it is exclusive of any other charges /levies that may be imposed from time to time.
- For Internet Based Trading (IBT) clients, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point in time.
- We are charging interest 24% on Trading ledger Debit and 13% on Demat Ledger Debit.
- Whenever you are not eligible for BSDA or Optout from BSDA which tariff plan do you want to select?

Subject to initial margin of minimum Rs. 2 lacs. I/We accept above Charges Structure.

Trade Code : \_\_\_\_\_

Client Name : \_\_\_\_\_

DP ID	1	2	0	8	5	5	0	0	Client ID								
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FH  
8/11

(First/Sole Holder Signature)

SH  
5/5

(Second Holder Signature)

TH  
5/5

(Third Holder Signature)

## STANDING INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I / We request you to maintain my / our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/ we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/ Quarterly (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI/ Stock Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Stock Exchange SEBI from time to time or towards other unbilled services and charges applicable on my account, while settling the accounts.

I [We understand and agree that no interest will be payable on the amount of funds retained by you as above. I / We agree that Wealthsteet shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/ funds. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

Client Code : \_\_\_\_\_



\_\_\_\_\_

(First/Sole Holder Signature)

(stamped or e-stamped appropriately)

**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)**

TO ALL TO WHOM THESE PRESENTS SHALL COME TO ALL TO WHOM THESE PRESENTS SHALL COME I/we

Name of the BO - \_\_\_\_\_ No of BO ID \_\_\_\_\_

with full address \_\_\_\_\_

Indian inhabitant /Non—resident hold a Beneficiary account no. as provided in Annexure-I, with Central Depository Services (India) Limited, with Wealthstreet Financial Services Private Limited (Formerly known as Wealthstreet Advisors Private Limited)( a Depository Participant with CDSL bearing DP-ID 12085500 & SEBI registered stock broker having SEBI registration no. INZ000157331, here by authorize Wealthstreet Financial Services Private Limited (WFSPL), having its registered office at A-1101, Mondeal Heights, Besides NOVOTEL Hotel, S.G. Highway, Ahmedabad — 380015 or any of its officers or employees or any sub agents as may be delegated by said DP to carry out following exercises for me/us and on my/our behalf and in my/our name from time to time until revoked by me/us in writing given to WFSPL and such revocation shall not affect the validity of any acts, deeds or things done or action taken by WFSPL for discharging any of my/our settlement/ margin obligations in respect of any transactions which is pending on the date of receipt of the notice of revocation by me/us.

Sr. No	Purpose	Signature (physical signature or eSign)
1.	Transfer of securities held in the beneficial owner accounts of me/us towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me/us on the Stock Exchange in any segments to the respective pool accounts of WFSPL as mentioned in Annexure-2 of this instrument.	1st holder Name _____ Signature X _____
		2nd holder Name _____ Signature X _____
		3rd holder Name _____ Signature X _____
2.	Pledging / re-pledging of securities in favor of WFSPL to the respective Margin Pledge accounts or margin fund pledge accounts of WFSPL as mentioned in Annexure-2 of this instrument & re-pledging of securities by WFSPL to Clearing Corporations for the purpose of meeting margin requirements of me/us in connection with the trades executed by me/us on the Stock Exchanges in any segments.	1st holder Name _____ Signature X _____
		2nd holder Name _____ Signature X _____
		3rd holder Name _____ Signature X _____

3.	Mutual Fund transactions being executed on Stock Exchange order entry Platforms	1st holder Name	
		Signature X	
		2nd holder Name	
		Signature X	
		3rd holder Name	
		Signature X	
4.	Tendering shares in open offers through Stock Exchange Platforms	1st holder Name	
		Signature X	
		2nd holder Name	
		Signature X	
		3rd holder Name	
		Signature X	

LIST OF DEMAT ACCOUNT WFSPL			Annexure —2
Sr. No	Name of the Account Holder	DP ID	Cilent ID
1.	Wealthstreet Financial Services Private Limited - BSE POOL A/c CDSL	12085500	00000717
2.	Wealthstreet Financial Services Private Limited - BSE POOL A/C NSDL	IN301330	22406422
3.	Wealthstreet Financial Services Private Limited - BSE EARLY PAYIN A/C	11000010	00024033
4.	Wealthstreet Financial Services Private Limited - NSE POOL A/C NSDL	IN301330	22405989
5.	Wealthstreet Financial Services Private Limited - NSE SLB POOL A/C	12085500	00008773
6.	Wealthstreet Financial Services Private Limited - NSE POOL A/C CDSL	12085500	00000736
7.	Wealthstreet Financial Services Private Limited - NSE EARLY PAYIN A/C	11000011	00020381
8.	Wealthstreet Financial Services Private Limited - CDSL TCMC Margin Pledge A/C	12085500	00056528
9.	Wealthstreet Financial Services Private Limited - MTF Collateral Mar in Pled e A/C	12085500	00056908
10.	Wealthstreet Financial Services Private Limited - MTF Funded Margin Pledge A/C	12085500	00055790
11.	Wealthstreet Financial Services Private Limited - NSDL TCMC Margin Pledge A/C	IN301330	40371061
12.	Wealthstreet Financial Services Private Limited - NSDL CUSPA Account	IN301330	22406973
13.	Wealthstreet Financial Services Private Limited - CLIENT UNPAID SECURITIES A/C	12085500	00131681

Sr. No	Name of Members/Co Parceners	Signatures of Members/Co Parceners
1.		
2.		
3.		

<b>I/We accept (For Wealthstreet Financial Services Private Limited)</b>	
Date :	
Place :	( Authorized Signatories )/Esig

## MUTUAL FUND CONFIRMATION

Date: \_\_\_\_\_

To,

**WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED**  
Formerly Known as : **WEALTHSTREET ADVISORS PRIVATE LIMITED**

Regd. office : A-1101, Mondeal Heights, Besides Novotel Hotel, S.G.  
Highway, Ahmedabad-380015.

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 the BSE STAR MF & MFSS. 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/ICCI 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,



\_\_\_\_\_

Client Signature/Authorise Signatories

Client Name \_\_\_\_\_

DematA/c No. \_\_\_\_\_

1st Holder \_\_\_\_\_

2nd Holder \_\_\_\_\_

3rd Holder \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

# CLIENT MASTER - FOR USE BY WFSPL

## STRICTLY HO REFERENCE

### Initial entries

CALL VERIFICATION	INWARD PARTICULARS	DOCUMENT VERIFICATION
Date _____	Date _____	Date _____
Time _____	Time _____	Time _____
Sign _____	Sign _____	Sign _____

Remarks \_\_\_\_\_

## STRICTLY HO REFERENCE

☐ Call verification of Client
 ☐ Mail sent to Client
 ☐ SMS sent to Client
 ☐ Welcome kit dispatch

Declaration pursuant to PMLA by SEBI vide its circular ISD/AML/CIR-1/2010 dtd 12th February, 2011

<b>Professional Clearing Member</b> <b>NSE-F&amp;O</b> <b>NSE &amp; BSE- CD</b>  Orbis Financial Corporation Ltd. CINU67120HR2005PLC036952 4A Ocus Technopolis Golf Club Road Sector 54, Gurgaon 122002	<b>WEALTHSTREET FINANCIAL SERVICES PRIVATE LIMITED (WFSPL) SEBI</b> Regn. Nos. :- NSE cash (CM) NSE Derivatives (F&O) NSE Currency Derivatives (CD) BSE Currency Derivatives (CD) BSE Cash (CM) BSE Derivatives (F&O)  CDSL DP - 85500  MFSS Segment -AMFI	} INZ 000157331 Dt. 27.09.2017  ] IN - DP -361-2018 Dt. 05.04.2018  - ARN-118251 Dt. 09.01.2017
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(This information is the sole property of Wealthstreet Financial Services Private Limited and would not be disclosed to anyone unless required by law or except with express permission of client)

Director Name	Mr. Ajay Saraogi		
Tel No.	079-66775500	Email id'	grievance@wealthstreet.in
Compliance Officer Name	Mr. Suren Pandya		
Tel No.	079-66775500	Email id'	compliance@wealthstreet.in

For any grievance / dispute please contact Wealthstreet Financial Services Private Limited (WFSPL) at the above address or email id - helpdesk@wealthstreet.in and Tel. No. 079-66775500 or visit our website: www.wealthstreet.in. In case not satisfied with the response, please contact the concerned exchange(s). For NSE for - ignse@nse.co.in or 022-26598190 / For BSE- is@bseindia.com or 022-22728097.