

**COMBINED**  
Individual & Non - Individual

**Form No.**

---



**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED  
Simple process. Expert wealth

# CLIENT REGISTRATION FORM

For Demat & Trading Account  
(Combined for NSE, BSE & DP-CDSL)

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

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





**ACKNOWLEDGEMENT 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	
<b>Depository Participant Seal and Signature</b>	

**Employee Name, Code & Signature** [ 34 ]

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99

**ACKNOWLEDGEMENT RECEIPT**

We Wealth First portfolio Managers Ltd. acknowledge the receipt of FATCA/CRS declaration from duly filled and signed from Mr. / Ms. / M/s. \_\_\_\_\_ PAN \_\_\_\_\_ on Date \_\_\_\_\_

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

**Employee Name, Code & Signature**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

[ 80 ]



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99

**ACKNOWLEDGEMENT RECEIPT**

We Wealth First portfolio Managers Ltd. acknowledge the receipt of FATCA/CRS declaration from duly filled and signed from Mr. / Ms. / M/s. \_\_\_\_\_ PAN \_\_\_\_\_ on Date \_\_\_\_\_

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

**Employee Name, Code & Signature**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

[ 83 ]



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99

**ACKNOWLEDGEMENT RECEIPT**

DP ID	1	2	0	7	2	3	0	0	Client ID										
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--	--

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

**Employee Name, Code & Signature**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

[ 88 ]



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99





**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED  
Simple process. Expert wealth

**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**

**CIN NO.: L67120GJ2002PLC40636**

**Regd.Office Address** : "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015  
**Phone** : 079-40240000 To 99  
**Fax** : 079-40240074  
**E-mail** : support@wealthfirst.biz  
**Website** : www.wealth-firstonline.com

Detail	NSE Cash / F & O Segment / CD Segment	BSE Cash / F & O Segment
SEBI Reg.No.	<b>INZ000018333</b>	<b>INZ000018333</b>
SEBI Reg.Date	<b>8/2/2016</b>	<b>8/2/2016</b>
Member Code	13463	6253

**Clearing Member Name(NSE F&O Segment)** : Orbis Financial Corporation Limited  
**Address** : 4A, Ocus Technopolis, Sector – 54,  
Golf Club Road, Gurgaon – 122002, Haryana  
**Fax Number** : 0124 - 4546500  
**IG Email Id** : grievance@orbisfinancial.in  
**Clg. No.** : 13222  
**SEBI Registration No.** : INZ000165534  
**SEBI Registration date** : February 26, 2018

## CEO/Compliance Officer Details

Desi nation	Name	Phone	E-mail
Compliance Officer	Mr. Nikhil Jain	91-79-40240000	compliance@wealthfirst.biz
CEO	Mr. Ashish Shah	91-79-40240061	ceo@wealthfirst.biz

for any grievance / dispute please contact Wealth-First Portfolio Managers.Ltd. at the above address or e-mail ID : grievance@wealthfirst.biz For stock exchange and grievance\_cdsl@wealthfirst.biz for CDSL.

In case not satisfied with the response, please contact the concerned Exchange(s) at

	E-mail ID	Phone/Fax No.
NSE	ignse@nse.co.in	(022)26598190 (022)26598191
BSE	is@bseindia.com	(022) 22728097

You may visit [www.wealth-firstonline.com](http://www.wealth-firstonline.com) to view Soft copy of Docket B Containing Right & obligation. Uniform RDD and Guidance Note. Further, the above documents is also made available in English, Gujarati & Hindi languages, please visit [www.wealth-firstonline.com](http://www.wealth-firstonline.com) our website or download from BSE website Link

BSE: [http://www.bseindia.com/investors/client\\_regislanguages.aspx?expandable=3](http://www.bseindia.com/investors/client_regislanguages.aspx?expandable=3) or

NSE: [https://www.nseindia.com/membership/content/complinc\\_trading\\_mem.htm](https://www.nseindia.com/membership/content/complinc_trading_mem.htm)

## DP Details

**DP ID** : 12072300  
**SEBI Registration No.** : IN-DP-258-2016  
**SEBI Registration Date** : 31/5/2016

## ACCOUNT OPENING KIT (THROUGH BUSINESS ASSOCIATES) INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>DOCKET A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account opening Form	A. KYC form-Documents Captures the basis information about the constituent and an instrucon/check list. B. Document caputes the additional informaon about the constituent relevant to trading account and instrucon/ check list.	<b>3 - 40</b>
2	Policies and Procedures	Document describing significant policies and procedures of the stock brokers (To be added by the stock broker	<b>41 - 44</b>
3	Terms and Coditions	Most Important Terms and Conditions(MITC)	<b>45</b>
4	Tariff Structure	Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	<b>46</b>
<b>DOCKET B - TOBE SEPARATELY PROVIDED AS PER CLIENT PREFERENCE</b>			
5	Right and obligations	Document stating the Right & 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).	Separate Copy will be provided as per client prefer
6	Risk Disclosure Documents (RDD)	Document detailing risks associated with dealing in the securities market.	Separate Copy will be provided as per client prefer
7	Guidance note	Document detailing do's and don'ts for trading on exchange for the education of the investor	Separate Copy will be provided as per client prefer
<b>DOCKET C - MANDATORY DOCUMENTS FOR DEMAT ACCOUNT OPENING</b>			
8	Schedules of Charges	Providing Information to the client of Demat Account charges structure	<b>47</b>
9	Rights and obligations of Beneficial Owner and Depository Participants	Contains rights and obligations of the clients and the depository participants as prescribed by SEBI and Depositories	<b>48-49</b>
10	SMS Alert & TRUST facility	Terms and conditions cum registration form for receiving SMS Alert & TRUST facility	<b>50-51</b>
11	Issue of DIS Booklet	Option Form for issue of DIS Booklet	<b>89</b>
<b>DOCKET D - VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKERS</b>			
12	FEMA Declaration	FEMA DECLARATION(IN CASE OF NRI(s)/FOREIGN NATIONAL(S)	<b>52</b>
13	Authorization for running account/request letter	Letter of Authority/request to Wealth First Portfolio Managers Ltd	<b>53</b>
14	Additional terms & Conditions	Additional terms and conditions between client and Broker	<b>54-72</b>
15	Broad policy	Additional policy for operation of account	<b>73</b>
16	Letter of Authority	Authority letter for smooth functioning of accounts	<b>74</b>
17	Confirmation and Noting	Additional Confirmation and Noting	<b>75</b>
18	Money Laundering Literature	Documents Detailing brief information on Anti money Laundering	<b>75</b>
19	DDPI	Demat debit and pledge instruction. (DDPI)	<b>76-77</b>
20	Declaration & Formats and Fatca CRS Declaration	HUF/Sole Proprietorship/Partnership/ Declaration and board Resolution Format/ Fatca Declaration	<b>78-86</b>



## Instructions to the Applicants (Beneficial Owners/BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public/ Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate Annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.



## Dos and Don'ts (for CDSL D'mat for Beneficial Owners of CDSL)

### DOS

- Register for CDSL's internet based facility 'easi' to monitor your demat account online. Contact your DP for details.
- Register for CDSL's SMS Alert facility - "SMART" and obtain alerts for any debits or credits due, in your demat account.
- Accept the DIS book from your DP only if each slip has been pre-printed with a serial number along with your demat account number, name and keep it in safe custody.
- Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker.
- Ensure that all demat account holder(s) sign on the DIS.
- Please strike out the any blank space on the slip.
- Cancellations or corrections on the DIS should be initialed signed by all the account holder(s).
- Submit the DIS ahead of the delivery date for all type of market transactions. DIS can be issued with a future execution date.
- Intimate any change of address or change in bank account details to your DP immediately.
- Check the demat performance of the issuer company with your DP before sending certificates for demat. The list of companies whose demat request are pending is published at [www.cdslindia.com](http://www.cdslindia.com)
- Before sending securities for demat, record the distinctive numbers of the securities sent.
- Before granting Power of Attorney to anyone, to operate your demat account, carefully examine the scope & implications of powers being granted.
- The demat account has a nomination facility and it is advisable to appoint a nominee, in case of sole account holders.
- Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions and once a quarter if there have been no transactions in your account.
- Check your demat account statement on receipt. In case you notice any unauthorized debits or credits, contact your DP for clarification. If not resolved, you may contact CDSL's Investor Relations Officers, [Mr. Suhas Kulkarni, Central Depository Services (India) Ltd., 17th Floor, P. J. Towers, Dalal Street, Mumbai-400 001, Tel. 2272 3333, email : [investors@cdslindia.com](mailto:investors@cdslindia.com).]

### DON'TS

- Do not leave your instruction slip book with anyone else.
  - Do not sign blank DIS as it is equivalent to a bearer Cheque.
  - Avoid over-writing, cancellations and misspellings, changing of the name and quantity of securities.
- We request you to meticulously follow the above instructions to avoid any problems in operation of your demat account.

## INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM:

### A. IMPORTANT POINTS:

1. **Self attested copy** of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, **should match** with the documentary proof submitted.
5. If correspondence & permanent address are different, then **proofs for both** have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/ OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, **for a minor**, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (**PEP**) are defined as individuals who are or have been entrusted with prominent public

functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI):

*List of documents admissible as Proof of Identity:*

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA):

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.



6. Identity card/document with address, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/ or apostiled or consularised) that gives the registered address should be taken.
8. **The proof of address in the name of the spouse may be accepted.**

**D. Exemptions/clarifications to PAN**

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

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

**F. 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>● Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market.</li> <li>● Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered partnership firms only).</li> <li>● Copy of partnership deed.</li> <li>● Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered trust only).</li> <li>● Copy of Trust deed.</li> </ul>

	<ul style="list-style-type: none"> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/ Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>



## INSTRUCTIONS / CHECKLIST - DERIVATIVES SEGMENT

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets documents.	Self declaration with relevant supporting

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **FOR INDIVIDUALS:**
  - a. Stock broker has an option of doing 'in-person' verification **through web camera** at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. **FOR NON-INDIVIDUALS:**
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

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

**For office use only**

Application Type\*  New  Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Minor  Adhaar OTP based E-KYC (in non-face to face mode)

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


	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

**2. PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction B at the end)

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

- A- Passport Number
- B- Voter ID Card
- C- Drivin9 Licence
- D- NREGA Job Card
- E - National Population Register Letter
- F - Proof of Possession of Aadhaar
- II  E - KYC Authentication
- III  Offline verification of Aadhaar

PHOTO



Signature / Thumb Impression

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3. CURRENT ADDRESS DETAILS** (Please refer instruction B at 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 ODD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Drivin9 Licence
- D- NREGA Job Card
- E - National Population Register Letter
- F - Proof of Possession of Aadhaar
- II  E - KYC Authentication
- III  Offline verification of Aadhaar
- IV  Deemed Proof Address - Document Type code
- V  Self Declaration

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **C** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

**5. REMARKS (If any)**

**6. APPLICATION DECLARATION**

• 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.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**  Certificate Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC Process  
 Equivalent e-document  Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code


Emp. Designation

Emp. Branch

(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
Code : **IN0803**



**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED  
**WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
"Capitol House", 10, Paras II, Prahlad Nagar,  
Ahmedabad-380015. Ph. : 079- 40240000 To 99

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name. Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR.
- 2 PoA to be submitted only if the submitted Poi does not have current address or address as per Poi is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected,
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address,
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
7	Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
8	"Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
9	'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
10	REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

**C Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

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

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.



**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **C** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

**5. REMARKS (If any)**

**6. APPLICATION DECLARATION**

• 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.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**  Certificate Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC Process  
 Equivalent e-document  Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code


Emp. Designation

Emp. Branch

(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 Code : **IN0803**



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
**WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99



**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **C** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

**5. REMARKS (If any)**

**6. APPLICATION DECLARATION**

• 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.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**  Certificate Copies  E-KYC data received from UIDAI  Data received from Offline verification  Digital KYC Process  
 Equivalent e-document  Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code


Emp. Designation

Emp. Branch

(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 Code : **IN0803**



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
**WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

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

**For office use only**

Application Type\*  New  Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Minor  Adhaar OTP based E-KYC (in non-face to face mode)

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


	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

**2. PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction B at the end)

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

- A- Passport Number
- B- Voter ID Card
- C- Drivin9 Licence
- D- NREGA Job Card
- E - National Population Register Letter
- F - Proof of Possession of Aadhaar
- II  E - KYC Authentication
- III  Offline verification of Aadhaar

PHOTO



Signature / Thumb Impression

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3. CURRENT ADDRESS DETAILS** (Please refer instruction B at 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 ODD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- A- Passport Number
- B- Voter ID Card
- C- Drivin9 Licence
- D- NREGA Job Card
- E - National Population Register Letter
- F - Proof of Possession of Aadhaar
- II  E - KYC Authentication
- III  Offline verification of Aadhaar
- IV  Deemed Proof Address - Document Type code
- V  Self Declaration



**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **C** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

**5. REMARKS (If any)**

**6. APPLICATION DECLARATION**

• 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.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

---

Signature / Thumb Impression of Applicant

**7. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received**     Certificate Copies     E-KYC data received from UIDAI     Data received from Offline verification     Digital KYC Process  
 Equivalent e-document     Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
Code : **IN0803**





**WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
"Capitol House", 10, Paras II, Prahlad Nagar,  
Ahmedabad-380015. Ph. : 079- 40240000 To 99

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

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please fill the form in English and in BLOCK letters.
- E) KYC number of applicant is 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** Application Type\*  New  Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

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

Name\*

Entity Constitution Type\*   (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

TIN / GST Registration Number

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

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

Certificate of Incorporation / Formation   Registration Certificate ?  Regn 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 see instruction C at the end)

**3.1 Registered Office Address / Place of Business\***

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 / U.T Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from Above)\***

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (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 instruction E at the end)



**A Clarification / Guidelines for filling Entity Details section****1 Entity Constitution Type**

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

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 [Pol]' 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 Add ress [PoA]**

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol 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 Aadhaar 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 Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

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



**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

(All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction **D** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

**2. APPLICATION DECLARATION**

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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

---

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY**

- Documents Received**
- Certificate Copies
  - Digital KYC Process
  - E-KYC data received fromUIDAI
  - Equivalent e-document
  - Data received from Offline verification

**KYC VERIFICATION CARRIED OUT BY**

Date --

Emp. Name

Emp. Code


Emp. Designation

Emp. Branch


(Sign. of person who has done IPV / Attestation)

**INSTITUTION DETAILS**

Name : **WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 Code : **IN0803**



**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED



**WEALTH FIRST PORTFOLIO MANAGERS LIMITED**  
 "Capitol House", 10, Paras II, Prahlad Nagar,  
 Ahmedabad-380015. Ph. : 079- 40240000 To 99

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



**CDSL VENTURES LIMITED**  
 ...Exploring New Horizons



**WEALTH FIRST**  
 PORTFOLIO MANAGERS LIMITED  
 Simple process. Expert wealth

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

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

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

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*:** Please Tick (✓)

- Normal   
  EKYC OTP   
  EKYC Biometric   
  Online KYC   
  Offline EKYC   
  Digilocker

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

**PAN\*** \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

**Name\*** (same as ID proof) \_\_\_\_\_

**Maiden Name<sup>+</sup>** (if any) \_\_\_\_\_

**Fathers/Spouse's Name\*** \_\_\_\_\_

**Date of Birth\*** \_\_\_\_\_

**Gender\***     Male     Female     Transgender

**Marital Status\***     Single     Married

**Nationality\***     Indian     Other \_\_\_\_\_

**Residential Status\***     Resident Individual     Non Resident Indian

Please Tick (✓)     Foreign National     Person of Indian Origin<sup>+</sup>

(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)



Cross Signature across photograph

**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 \_\_\_\_\_

Line3 \_\_\_\_\_

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

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

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

Applicant e-SIGN

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

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 Line3 \_\_\_\_\_  
 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**

<p>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.</p> <p>I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.</p> <p>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.</p> <p>DATE: _____ (DD-MM-YYYY)          PLACE: _____</p>	Applicant e-SIGN	Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : <div style="border: 1px solid black; padding: 2px; width: fit-content;"> <b>Wealth First Portfolio Managers Limited.</b>  <b>POS Code 1100072300</b> </div>
Employee Signature and Stamp	Institution Name and Stamp





## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

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

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

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

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

1. Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

### D. Exemptions/clarifications to PAN

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

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

### E. List of people authorized to attest the documents:

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

### F. 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered partnership firms only)</li> <li>• Copy of partnership deed</li> <li>• Authorised signatories list with specimen signatures</li> <li>• Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/List of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act</li> <li>• List of Managing Committee members</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

# Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant \_\_\_\_\_ PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors)/ Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person



**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED  
Simple process. Expert wealth

Date    /    /

\_\_\_\_\_  
Name & Signature of the Authorised Signatory(ies)



**TRADING ACCOUNT DETAILS**

**A. BANK ACCOUNT DETAILS :**

	Bank Name	Branch Address	Bank Account Number	Account Type: Saving/Current Others: in case of NRI/NRE/NRO	MICR Number	IFSC Code
1						
2						
3						
4						

**B. DEPOSITORY ACCOUNT DETAILS**

	Depository Participant Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
1					
2					
3					
4					

<b>Other Details</b> Gross Annual income Details <b>Individuals &amp; Non - Individuals</b>	<b>Income Range per annum:</b> <input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs.5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
	<b>Net worth as on (Date)</b>   d   d   /   m   m   /   y   y   y   y      Rs [ Net worth should not be older than 1 year ]
<b>Occupation</b>	<input type="checkbox"/> Private/ Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify)

Please tick, if applicable     Politically Exposed Person (PEP)     Related to Politically Exposed Person (RPEP)

Any other information

**C. TRADING PREFERENCES**

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	NSE, BSE			
	All Segments	Cash/Mutual Fund	Debt	F&O

If you do not wish to trade in any of segments / Mutual Fund, please mention here

Signature of Applicant

**D. 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

**E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS****If client is dealing through the sub-broker, provide the following details**

Sub-broker's Name			
SEBI Registration number			
Registered office address			
Phone		Fax	Website
<b>Whether dealing with any other stock broker/sub-broker</b> (if case dealing with multiple stock brokers/sub-brokers, provide details of all)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			

**F. ADDITIONAL DETAILS**

Whether you wish to receive <input type="checkbox"/> physical contract note or <input type="checkbox"/> Electronic Contract Note (ECN) (please specify)	
Specify your Email id, if applicable	
Whether you wish to avail of the facility of <input type="checkbox"/> internet trading/ <input type="checkbox"/> wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others	
As per Annexure / N.A.	
Whether you wish to receive Docket B containing Rights & Obligation, Uniform RDD & Guidance Not in ( ) Physical Form or ( ) Electronic Form at the above email ID.	
Any other information	

**G. INTRODUCER DETAILS (OPTIONAL)**

Name of the Introducer			
(Surname)		(Name)	
(Middle Name)			
Status of the Introducer	<input type="checkbox"/> Sub-broker	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person
	<input type="checkbox"/> Existing Client	<input type="checkbox"/> Others, please specify	
Address of the Introducer			
Phone		Mobile	E-mail
Signature of the Introducer			

**NOMINATION DETAILS FOR TRADING****FORM FOR NOMINATION**

**Wealth First Portfolio Managers Ltd.**  
CAPITOL HOUSE, 10 PARAS II,  
NR PRAHLAD NAGAR GARDEN  
AHMEDABAD-380015

*(To be filled in by individual applying singly or jointly)*

Nominee Reg. No.

Date

Date

D

D

M

M

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

Y

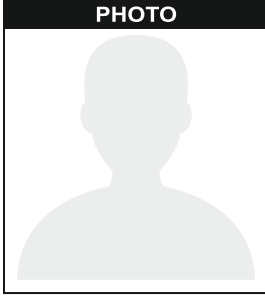
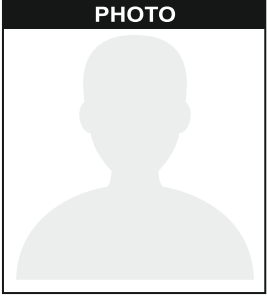
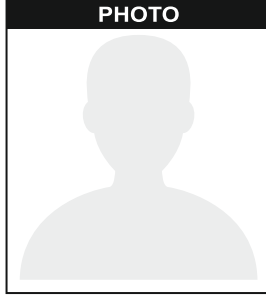



UCC/ DP ID

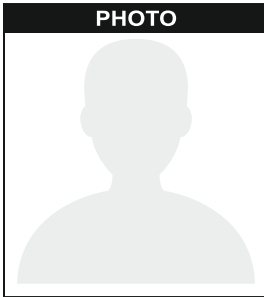
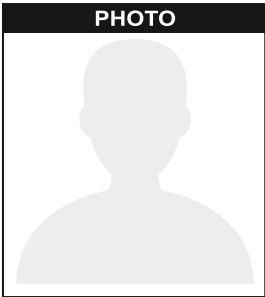
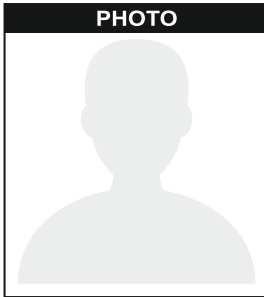



Client ID

I/We wish to make a nomination. [As per details given below]

**Nomination Details**

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made up to three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
		<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>		
3	Relationship With the Applicant ( If Any)			
4	Address of Nominee(s) City / Place: State & Country:			
	PIN Code			
5	Mobile / Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details – [Please tick any one of following and provide details of same]	<b>PHOTO</b> 	<b>PHOTO</b> 	<b>PHOTO</b> 
		signature 	signature 	signature 
	Nominee Identification details			
	PAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Aadhaar card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Saving Bank Ac No.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Proof of Identity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Demat account Id	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:</b>				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
	City / Place: State & Country:			
	PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>

11	Mobile / Telephone no. of Guardian	<input type="text"/>											
12	Email ID of Guardian	<input type="text"/>											
13	Relationship of Guardian with nominee	<input type="text"/>											
14	Guardian Identification details – [Please tick any one of following and provide details of same]  Photo & signature	<div style="display: flex; justify-content: space-around;"> <div style="text-align: center;">  signature <input type="text"/></div> <div style="text-align: center;">  signature <input type="text"/></div> <div style="text-align: center;">  signature <input type="text"/></div> </div>			Guardian Identification details –								
	PAN	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>					
	Aadhaar card	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>					
	Saving Bank Ac No.	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>					
	Proof of Identity	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>					
	Demat account Id	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>					
		<b>Name(s) of holder(s)</b>					<b>Signature(s) of holder*</b>						
Sole / First Holder (Mr./Ms.)													
Second Holder (Mr./Ms.)													
Third Holder (Mr./Ms.)													

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




**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

“**Note :** Residual Securities : In case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee”

**Declaration Form for opting out of nomination****[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

To, Wealth First Portfolio Managers Ltd.	Date	D	D	M	M	Y	Y	Y	Y
CAPITOL HOUSE, 10 PARAS II, NR PRAHLAD NAGAR GARDEN AHMEDABAD-380015	DP ID : 12072300		BSE MEMBERSHIP NO. : 6253		NSE MEMBERSHIP NO. : 13463				
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
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.									
<b>Name and Signature of Holder(s)*</b>									
1.  _____ 2.  _____ 3.  _____									

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



**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.

   
Signature of Client /  
(all) authorized Signatory (ies)

   
Signature of Client /  
(all) authorized Signatory (ies)

   
Signature of Client /  
(all) authorized Signatory (ies)

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

Date :   -   -

**FOR OFFICE USE ONLY:**

■ UCC Code allotted to the Client :

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

   
Signature of Authorised Signatory

For, **WEALTH FIRST PORTFOLIO MANAGERS.LTD.**



Date :   -   -

\_\_\_\_\_  
(Seal / Stamp)

**DETAILS OF AUTHORISED SIGNATORIES**

<b>Individual's Full Name</b>											
Residential Address											
City		PIN				State		Country			
Phone		E-mail									
<b>Designation</b>		Date of Birth								<b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female	
<b>PAN</b>				<b>UID</b>							
<b>DIN</b>				<b>Nationality</b>		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)					

<b>Individual's Full Name</b>											
Residential Address											
City		PIN				State		Country			
Phone		E-mail									
<b>Designation</b>		Date of Birth								<b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female	
<b>PAN</b>				<b>UID</b>							
<b>DIN</b>				<b>Nationality</b>		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)					

<b>Individual's Full Name</b>											
Residential Address											
City		PIN				State		Country			
Phone		E-mail									
<b>Designation</b>		Date of Birth								<b>Gender</b> <input type="checkbox"/> Male <input type="checkbox"/> Female	
<b>PAN</b>				<b>UID</b>							
<b>DIN</b>				<b>Nationality</b>		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify)					

**Attach recent passport size photographs of Authorised Signatories in the space provided below :**

<p>(1)</p> <div style="border: 1px solid black; padding: 10px; width: 150px; margin: 0 auto;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>	<p>(2)</p> <div style="border: 1px solid black; padding: 10px; width: 150px; margin: 0 auto;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>	<p>(3)</p> <div style="border: 1px solid black; padding: 10px; width: 150px; margin: 0 auto;"> <p>Passport size photography only</p> <p>(Sign across)</p> </div>
--	--	--

S.No.	Name of Authorised Signatories	Signature(s) along with Seal
1.		
2.		
3.		



**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

Depository Participant : **WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
 "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015 • Tel.: 079-40240000 To 99 • Fax: 079-40240074  
 Email: support@wealthfirst.biz Web Site: wealth-firstonline.com  
 DP SEBI Regn. No. : **IN-DP-258-2016** DP ID : **12072300**  
 (To be filled by Depository Participant)

Application No.		Date			-			-	2	0		
DP Internal Reference No.												
DP ID	1	2	0	7	2	3	0	0	Client ID			

(To be filled by the applicant in **BLOCK LETTER** in English)  
 I / We request you to open a Demat Account in my / our name as per the following details :

HOLDERS DETAILS		PAN										
Sole/First Holder's Name	PAN											
	UID											
	UCC											
	Exchange Name & ID											
Second Holder's Name	PAN											
	UID											
Third Holder's Name	PAN											
	UID											

**Name \***  
 \* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, 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	
<input type="checkbox"/> <b>INDIVIDUAL</b>	<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"/> Others (Specify) _____
<input type="checkbox"/> <b>NRI</b>	<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"/> Others (Specify) _____
<input type="checkbox"/> <b>Foreign National</b>	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National – Depository Receipts <input type="checkbox"/> Others (Specify) _____	

**DETAILS OF GUARDIAN** (in case the account holder is minor) PAN

Name of Guardian									
Relationship with Applicant									

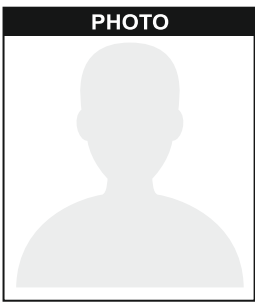

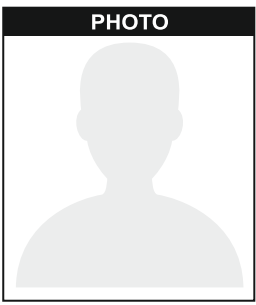

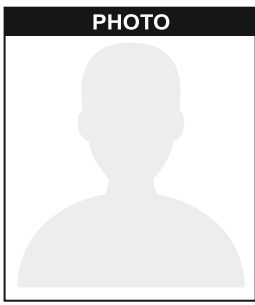




I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We Would like to receive Rights & Obligation of DP and BO: <input type="checkbox"/> Physical <input type="checkbox"/> Electronic	
I/we request you to send Electronic Transaction cum Holding Statement at the E-mail ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/we wish to receive dividend / interest directly in to my bank account, 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)	<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



## Nomination Form

**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

		FORM FOR NOMINATION																			
<b>Wealth First Portfolio Managers Ltd.</b> CAPITOL HOUSE, 10 PARAS II, NR PRAHLAD NAGAR GARDEN AHMEDABAD-380015		(To be filled in by individual applying singly or jointly)																			
		Nominee Reg. No.						Date													
Date	D	D	M	M	Y	Y	Y	Y	UCC/ DP ID				Client ID								
I/We wish to make a nomination. [As per details given below]																					
<b>Nomination Details</b>																					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																					
Nomination can be made up to three nominees in the account.		Details of 1 <sup>st</sup> Nominee						Details of 2 <sup>nd</sup> Nominee						Details of 3 <sup>rd</sup> Nominee							
1	Name of the nominee(s) (Mr./Ms.)																				
2	Share of each Nominee	Equally <small>[If not equally, please specify percentage]</small>		%						%						%					
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																					
3	Relationship With the Applicant (If Any)																				
4	Address of Nominee(s)																				
		City / Place:																			
		State & Country:																			
		PIN Code																			
5	Mobile / Telephone No. of nominee(s)																				
6	Email ID of nominee(s)																				
7	Nominee Identification details – [Please tick any one of following and provide details of same]		<div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>PHOTO</b>  </div> <div style="text-align: center; margin-top: 5px;">signature</div> <div style="border: 1px solid black; width: 100%; height: 40px; margin-top: 5px;"></div>						<div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>PHOTO</b>  </div> <div style="text-align: center; margin-top: 5px;">signature</div> <div style="border: 1px solid black; width: 100%; height: 40px; margin-top: 5px;"></div>						<div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>PHOTO</b>  </div> <div style="text-align: center; margin-top: 5px;">signature</div> <div style="border: 1px solid black; width: 100%; height: 40px; margin-top: 5px;"></div>						
		<b>Nominee Identification details</b>																			
		PAN		<input type="checkbox"/>						<input type="checkbox"/>						<input type="checkbox"/>					
		Aadhaar card		<input type="checkbox"/>						<input type="checkbox"/>						<input type="checkbox"/>					
		Saving Bank Ac No.		<input type="checkbox"/>						<input type="checkbox"/>						<input type="checkbox"/>					
		Proof of Identity		<input type="checkbox"/>						<input type="checkbox"/>						<input type="checkbox"/>					
		Demat account Id		<input type="checkbox"/>						<input type="checkbox"/>						<input type="checkbox"/>					

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)			
	City / Place: State & Country:			
	PIN Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
11	Mobile / Telephone no. of Guardian	<input type="text"/>	<input type="text"/>	<input type="text"/>
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same]  Photo & signature	<div style="text-align: center;">PHOTO</div>  <div style="text-align: center;">signature</div> 	<div style="text-align: center;">PHOTO</div>  <div style="text-align: center;">signature</div> 	<div style="text-align: center;">PHOTO</div>  <div style="text-align: center;">signature</div> 
	Guardian Identification details –			
	PAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Aadhaar card	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Saving Bank Ac No.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Proof of Identity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Demat account Id	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		Name(s) of holder(s)		Signature(s) of holder*
	Sole / First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

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

**Note:**




This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

“Note : Residual Securities : In case of multiple nominees remaining after distribution of securities as per percentage of allocation shall be transferred to the first nominee”

**Declaration Form for opting out of nomination**

**[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]**

To, Wealth First Portfolio Managers Ltd.	Date	D	D	M	M	Y	Y	Y	Y
CAPITOL HOUSE, 10 PARAS II, NR PRAHLAD NAGAR GARDEN AHMEDABAD-380015	DP ID : 12072300 BSE MEMBERSHIP NO. : 6253 NSE MEMBERSHIP NO. : 13463								
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
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.									
<b>Name and Signature of Holder(s)*</b>									
1.  _____ 2.  _____ 3.  _____									

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



## ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

Depository Participant : **WEALTH FIRST PORTFOLIO MANAGERS. LTD.**  
 "Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015 • Tel.: 079-40240000 To 99 • Fax: 079-40240074  
 Email: support@wealthfirst.biz    Web Site: wealth-firstonline.com  
 DP SEBI Regn. No. : **IN-DP-258-2016** DP ID : **12072300**  
 (To be filled by Depository Participant)

Application No.		Date	-	-	2	0									
DP Internal Reference No.															
DP ID	1	2	0	7	2	3	0	0	Client ID						

(To be filled by the applicant in **BLOCK LETTER** in English)  
 I / We request you to open a Demat Account in my / our name as per the following details :

HOLDERS DETAILS	PAN														
Sole/First Holder's Name	PAN														
	UID														
	UCC														
	Exchange Name & ID														
Second Holder's Name	PAN														
	UID														
Third Holder's Name	PAN														
	UID														

**Name \***

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, 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
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trusts <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____	<b>To be filled by the DP</b>
SEBI Registraion No. (If applicable)	SEBI Registration Date
RBI Registraion No. (If applicable)	RBI Approval Date
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify) _____
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We Would like to receive Rights & Obligation of DP and BO:	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
I/we request you to send Electronic Transaction cum Holding Statement at the E-mail ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/we wish to receive dividend / interest directly in to my bank account, 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)	<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
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic





**Details of Politically Exposed Person (PEP) / Related to Politically Exposed Person (RPEP) .  
[ For - non - individual ]**

**Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_**

<b>Sr.No</b>	<b>Name of the Authorized signatories /Promoters/Partners/Karta/ Trustees / Whole Time Directors</b>	<b>Relation with the holder (i.e.promotera, whole time directors etc)</b>	<b>Please tick the relevant option.</b>
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatories Date \_\_\_\_/\_\_\_\_/\_\_\_\_ PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

## **POLICIES AND PROCEDURES**

This document outlines various policies and procedures framed and followed by **Wealth First Portfolio Mangers Limited** with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd (BSE) (collectively hereinafter referred to as “the Exchanges”). The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of WEALTH FIRST, depending upon regulatory changes, its risk management framework, other market conditions, etc.

### **a. Refusal of order for penny stock**

Following types of scrips will come under Penny stock if it falls in any one category as mentioned below as part of the due diligence and risk management policy of WEALTH FIRST.

1. Scrip which are quoting at less than Rs. 10/- on any of the Exchanges.
2. Scrips appearing in the list of illiquid securities issued by the Exchanges periodically.
3. Securities forming part of Trade-to-Trade settlement.
4. Securities forming part of Z group.
5. Scrips on which Exchange VaR is more than 50%
6. Scrip whose average daily volume is less than 15000 shares (collectively for all Exchanges) in last seven days.
7. Any Securities which in the opinion of WEALTH FIRST is likely to be a Penny Stock.

Trading in Penny stocks may be allowed to clients at the sole discretion of WEALTH FIRST. Also WEALTH FIRST may restrict the quantity/amount which a client may be allowed to buy/sell the penny stock. If the client wants to purchase Penny stocks then WEALTH FIRST may insist upto 100% advance payment/ sufficient clear ledger credit balance and similarly if client wishes to sell Penny stock, then WEALTH FIRST may insist that shares should be first transferred to beneficiary demat account of WEALTH FIRST. Under no circumstances, WEALTH FIRST shall be held responsible for non-execution/ delay in execution of such orders and consequential opportunity loss or financial loss to the client.

### **b. Setting up client's exposure limits**

#### **Cash Segment**

- Exposure based and / or Margin based limits will be given to the clients for doing trades in Cash Segment.

- Limits will be given on the basis of credit balance and / or collateral / securities of the client available with WEALTH FIRST valued after hair cut.
- Exposure based limit may be given to the client in certain multiples (multiples times may be decided by WEALTH FIRST at its sole discretion from time to time) on the available credit balance and / or on the collateral / securities of the client available with WEALTH FIRST valued after hair cut. However, the same shall be within margin limits as defined by exchange, if any.
- Margin based limit may be given to the client on the applicable VaR as may be decided by WEALTH FIRST from time to time on the available credit balance and / or on the collateral / securities of the client available with WEALTH FIRST valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity volatility of scrip etc from time to time.

WEALTH FIRST reserves the right to withdraw exposure limit granted to the client at any point of time at its sole and absolute discretion. The client cannot and shall not raise any concern/dispute for the same and under no circumstances, WEALTH FIRST shall be held responsible for alleged / consequential opportunity loss or financial loss to the client.

#### **Derivatives Segment**

- Margin based limits will be given to the clients for doing trades in Derivatives Segment.
- Limits in Derivatives Segment will be given on the basis of free credit balance and / or collateral/ securities of the client available with WEALTH FIRST valued after hair cut.
- Securities shall be valued after appropriate hair cut based on the type of scrips, nature of scrip, liquidity and volatility of scrip, etc. from time to time.

- A client will be normally allowed limits till the client has free credit balance and / or collateral / securities valued after hair cut. In case of excess limit is availed, the same will be regularized by the end of trading session / day. WEALTH FIRST may from time to time depending on market conditions, profile and history of client, type and nature of scrip, etc., may at its sole discretion change the rate of haircut applicable on the securities / collaterals, number of times the limits to be given in Cash and / or Derivatives segments and take such steps as WEALTH FIRST may deem necessary.

#### **c. Applicable Brokerage Rate**

The brokerage rate applicable on clients trades will be as per agreed rates as mentioned in the Tarif Schedule at the time of opening the client trading account. Any higher brokerage will be levied only if agreed in writing between WEALTH FIRST and the client or by advance notice of 15 days by WEALTH FIRST to the client. If the client has any grievances' regarding the rate of brokerage charged then he should intimate the same to WEALTH FIRST within four hours of receipt of the contract note/confirmation memo/bill.

**The brokerage rate at no point of time will exceed the rates as may be specified by the Exchanges/SEBI from time to time.**

Unless otherwise agreed the brokerage will be exclusive of the levies / charges as mentioned in the Tarif Sheet.

#### **d. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period**

In case of delay in payment by the client to WEALTH FIRST on its due date, WEALTH FIRST in respect of such delayed payment will be entitled to recover late / delayed payment charges from due date. The said delayed payment shall include amounts payable by the client to WEALTH FIRST in respect of initial margin, mark to market, shortfall of margin(s) in prescribed modes, and / or other margins and pay-in obligations. Late payment charges will be levied upto 2.5% per month or a part of month on delayed payment for the delayed period. The trade of the client may not be executed by WEALTH FIRST if the client does not clear dues along with delayed payment charges. The client will not be entitled to any

interest on the credit balance / excess margin available / kept with WEALTH FIRST.

A delayed payment charge is applied to act only as a deterrent measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges.

WEALTH FIRST may impose fines/penalties for any order/ trades/ deal/ actions of the clients which are contrary to this agreement/ rules/ regulations/ byelaws of the exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the WEALTH FIRST has to pay any fine or bear any punishment from any authority in connection with/ as a consequence of / in relation to any of the order/ trades/ deal/ actions of the client, the same will be borne by the client.

#### **e. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues.**

The client is required to pay adequate margin pay-in obligations in full and that it shall be the clients responsibility to ascertain in advance the margin / pay-in obligations requirement for its order/trades/ deals and to ensure that the required margin /pay-in obligations is made available to WEALTH FIRST in such form and such manner as may be required by WEALTH FIRST from time to time. If the client's order is executed despite a shortfall in the available margin, the client shall, whether or not WEALTH FIRST intimates such shortfall to the client, make up for the shortfall *suo-motto* immediately. The client shall be responsible for all orders (including any orders that may be executed without the required margin in the clients account) and/or any claim/ loss/damage arising out of the non-availability/ shortage of margin / pay-in obligations required by WEALTH FIRST and/or by Exchange. The client shall fulfill all its obligations / liabilities / dues to WEALTH FIRST, failing which WEALTH FIRST has the right not the obligation to square up all or any outstanding position and / or take offsetting positions and / or sell the margin / securities available with WEALTH FIRST without giving any notice to the client. WEALTH FIRST may also square up all or any outstanding position and / or sell the securities/

collateral available with WEALTH FIRST as a part of risk management at any time without giving any notice to the client. In case of purchase on behalf of client, the WEALTH FIRST may close out its transactions by selling securities, in case the Client fails to make full payment to WEALTH FIRST for the same before the time intimated by WEALTH FIRST. In case of sale on behalf of client, the WEALTH FIRST may close out its transaction by purchasing the securities. The client shall be liable for any losses, costs and be entitled to any surplus, which may result from the above.

**f. Shortages in obligations arising out of internal netting of trades**

If a selling client who has sold shares of particular scrip on T day does not deliver shares latest by T+1 (i.e. by pay-in day deadline) and such quantity of shares results in internal shortages, then such quantity of internal shortage will be purchased from the market on pay-in day/or reported for self auction if provided by the Exchange. On T+1 (i.e. pay-in day) provisional debit will be given in client account at T Day's closing rate + adhoc margin as decided by WEALTH FIRST from time to time. On payout day of securities purchased in the internal shortage account, provisional debit bill amount will be reversed and client account will be debited with the amount at which securities are purchased on T+1 day. Fines / penalties / charges may be levied on account of internal shortage to selling client.

Due to internal shortage on account of internal netting of trades, the buyer client shall receive late delivery of securities. Buyer shall have no claims / rights against WEALTH FIRST for delay in delivery of securities. It may also be possible that WEALTH FIRST may not be able to obtain the required securities due to market conditions, then in such cases the buyer clients account will be credited and seller clients account will be debited as per the close out rate provided by the exchange for the relevant Auction settlement. Provisional debit bill amount will be reversed in the sellers client account. Notwithstanding the above, the selling client who has failed to deliver the shares by due date and time shall be solely responsible for all cost, charges, penalties, damages, etc. arising out of such non delivery of shares.

Above procedure is subject to change from time to time according to change in settlement procedure of the Exchange.

**g. Conditions under which a client may not be allowed to take further position or WEALTH FIRST may close the existing position of a client.**

Under the following conditions WEALTH FIRST will not allow the client to take further positions or WEALTH FIRST may close the existing position of a client:-

- 1) Insufficient / inadequate margin(s) and / or insufficient / inadequate free credit balance available with WEALTH FIRST.
- 2) Scrips / stocks falling in Penny Stocks in clause (a) above.
- 3) Illiquid contracts / options.
- 4) Trades which apparently in the sole and absolute discretion of WEALTH FIRST seems to be Synchronized trades/ Circular trading/Artificial trading/ manipulative in nature, etc.
- 5) Scrips banned by Regulatory authorities.
- 6) Where name of the client apparently resembles with the name appearing in the list of debarred entities published by SEBI/Exchanges and other regulatory authorities [where the information available for the debarred entity (other than name) is not sufficient enough to establish that the client and such debarred entity are one and the same].
- 7) The client fails to furnish documents information as may be called for by WEALTH FIRST from time to time as per regulatory requirement and/or as per its internal policy.
- 8) In the event of death or insolvency of the client or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which he has ordered to be bought or sold.

In addition to the above WEALTH FIRST can also close position of the client in case the client fails to pay his / her obligation / dues before pay in schedule of the exchange and / or as demanded by WEALTH FIRST. Depending on the market circumstances if WEALTH FIRST is of the view that the positions of the clients are / will be at risk then WEALTH FIRST may close the existing position without waiting for the pay in schedule of the exchange.



**h. Temporarily suspending or closing a client's account at the client's request,**

At the written request of the client, the trading account will be suspended / closed. In case client request for closing the account then the client's funds and securities due to / from client will have to be settled at the earliest. Also the client will give a confirmation of no dues (funds and securities) to WEALTH FIRST. Only after the settlement of funds and securities the clients account will be closed. If a client wishes to resume trading then client has to give a written request to WEALTH FIRST for the same. In case after closing of account client wishes to resume trading with WEALTH FIRST then fresh KYC formalities will be done.

**i. Deregistering a client.**

WEALTH FIRST may at its sole discretion deregister a client without giving any specific reason. Necessary communication will be done by WEALTH FIRST to client in writing or by email. On giving the intimation to de-register, the client's funds and securities, if any, will be settled at the earliest. The client will be given necessary notice period as required by the SEBI/ Exchanges from time to time. Due to de-registration, WEALTH FIRST shall have the right to close out the existing open positions/ contracts, sell/ liquidate the margin (in any form) to recover its dues, if any, before de-registering the client. Any action taken by WEALTH FIRST in terms of this policy shall not be challenged by the client, and WEALTH FIRST shall not be liable to the client for any loss or damage (actual/notional), which may be caused to the client as a result. Also while de-registering the client, WEALTH FIRST may retain certain amount/securities due/ belonging to the client for meeting any future losses, liability, penalties, etc. arising out of dealing of the client with WEALTH FIRST. In case if any securities retained by WEALTH FIRST is sold/ liquidated to recover any such losses, liability, penalties, etc., WEALTH FIRST shall have the sole authority to decide the scrip, the mode, manner and the price at


which to effect the sale of securities and the client cannot raise any dispute as to the manner, mode and the price at which the securities are sold by WEALTH FIRST. In any of the above circumstances, if the client is able to justify his / her, circumstances / reasons either by producing any record, document or otherwise to the full satisfaction of WEALTH FIRST, then WEALTH FIRST may reconsider its decision of de-registering the client. However in no circumstances any action taken by WEALTH FIRST till the date of re-registration shall be challenged by the client and WEALTH FIRST shall not be liable to the client for any loss or damage (actual/ notional), which may be caused to the client as a result.


**j. Policy for inactive client**

A Trading Account (irrespective whether having debit or credit balance) shall be classified as dormant account in case there are no transactions for a period in excess of 12 (Twelve) calendar months from the last transaction date. The Dormant Accounts shall be frozen for further transaction(s). Transactions here mean any of the following:

- a. No purchase or sale transaction in the Cash Segment of NSE & BSE.
- b. No purchase or sale transaction in the Derivative segment of NSE & BSE.
- c. No Bank Receipts or Payments (Client Funds Pay-in or Pay-out).
- d. Any other Financial or Security transaction affecting the common ledger of the customer maintained in the back office for Wealth first.

On classification of any account as dormant account as stated above, A dormant account can be re-activated on receipt of a request for reactivation either orally or in writing. Further if client has not used his account for more than 2 years, his account shall be re-activated only after proper recording of reason for such non-use and after taking all the required proof. In-active Clients, shall be settled as per exchange guideline. These policies and procedures can be changed by Wealth First from time to time with prior notice of 30 days.

I/We acknowledge receipt of this document.	
	
First Holder	

Name: WEALTH FIRST PORTFOLIO MANAGERS. LTD.	
	
Authorised Signatory	

## **MOST IMPORTANT TERMS AND CONDITIONS (MITC)**

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.

Name of Applicant : \_\_\_\_\_

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

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

 \_\_\_\_\_  
**Signature of Applicant**

## BROKERAGE / CHARGES (TARIFF SCHEDULE) FOR TRADING ACCOUNT

### BROKERAGE

#### CASH AND FUTURES AND OPTIONS AND CURRENCY DERIVATIVES SEGMENTS

Type	Percentage	Minimum (paisa per share)	Legs
Trading in Cash (intra day)			Single / Both
Delivery in Cash			All transaction
Futures (intra day)			Single / Both
Futures (other than intra day)			All transaction
	_____ % / Rs. per lot	Minimum (Rs. Per lot / Paisa Per Share)	
Options (intra day)	_____ % / Rs. _____		Single / Both
Options (except intra day)	_____ % / Rs. _____		All transaction
Currency Derivative	Rs. _____ per lot		

#### MUTUAL FUND SEGMENT

Type	BROKERAGE ON PURCHASE	BROKERAGE ON REDEMPTION
Equity Oriented	_____ % of investment amount subject to maximum of Rs. _____	
Debt Oriented Plans	_____ % of investment amount subject to maximum of Rs. _____	
Liquid Plans	Nil	

#### BROKERAGE FOR ACCOUNT SETTLEMENT OTHER THAN QUARTERLY BASIS :-

Per Share 2.5% or 10 paisa which ever is higher on each and every leg of transactions on securities listed in cash segment and on future segment of stock, index & Currency. 2.5% of Premium or Rs. 100/- per lot which ever is higher on options contract listed in futures and options and currency derivative segments.

#### OTHER LEVIES AS PREVALENT FROM TIME TO TIME :-

1. GST 2. Stamp Duty 3. Exchange transaction charges 4. SEBI turnover fees 5. Clearing Member charges 6. Securities Transaction Tax (STT) 7. Expiry charges on derivative contracts 8. Delayed payment charges not exceeding 2.5% per month or part of the month. 9. Cheque return charges @ 0.15% of cheque value plus Rs. 137/- towards cheque handling charge 10. Contract Note handling charges of Rs. 100/- per segment per day in case client opts for physical contract note or WEALTH-FIRST is required to issue physical contract note. 11. Demat charges towards pay-in / pay out of securities / margin from WEALTH-FIRST'S beneficiary account. 12. Amount paid / payable by WEALTH-FIRST on account of any penalties / charges levied / leviable on WEALTH-FIRST due to default / breach committed by client. Any other statutory levies not specified in this tariff sheet. 13. Charges for providing research report. 14. Charges for any other services provided / cost incurred by WEALTH-FIRST. 15. Any other charges toward customised / specialised services.

**Note :** The brokerage in cash and futures segment (except options) is calculated on a per share basis and rounded of to nearest paisa. Rate of the other levies may vary from time to time. You may contact us to know the prevalent rates of the above levies. WEALTH-FIRST means Wealth First Portfolio Managers Ltd. Any change in the commercial shall be communicated on your email id registered with us and the same shall also be available in your client login on our website.

Name of Applicant : \_\_\_\_\_

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

**Signature of Applicant**





**WEALTH FIRST**  
PORTFOLIO MANAGERS LIMITED  
Simple process. Expert wealth

**DP ID : 12072300**

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015  
**Tel.:** 079-40240000 To 99 • **Fax:** 079-40240074  
**Email:** support@wealthfirst.biz  
**Web Site:** wealth-firstonline.com



## Schedule of charges for Demat Account

Particulars	SCHEME-A	SCHEME-B	SCHEME-C	BSDA
	With DDPI	With DDPI	With DDPI	D
A) Documentation Charges	Nil	Nil	Nil	Nil
B) Refundable Deposit (Non interest bearing)	Nil	Nil	Rs. 3000/-	Nil
C) Account Maintenance	Rs. 500/- (Annualy)*	Rs. 700/- (Annualy)	Nil (Life Time)	
Payable at the time of opening the account (A+B+C)	Rs. 500/-	Rs. 700/-	Rs. 3000/-	Nil
Custody Charges	Nil	Nil	Nil	Nil
Dematerialization Charges	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/-
Rematerialization Charges	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/- per request	Rs. 100/-
<b>Transaction Charges</b>				
With Wealth First (Buy)	Nil	Nil	Nil	Nil
Within Wealth First (Sell) (Market & Off Market)	Rs. 10/-	Rs. 25/-	Rs. 15/-	Rs. 25/-
Outside Wealth First (Buy)	Nil	Nil	Nil	Nil
Outside Wealth First (Sell) (Market & Off Market)	Rs. 50/- or 0.04% of value whichever is higher	Rs. 50/- or 0.04% of value whichever is higher	Rs. 50/- or 0.04% of value whichever is higher	Nil
Pledge Creation	Rs. 50/-	Rs. 50/-	Rs. 50/-	Rs. 50/-
Pledge Closure	Nil	Nil	Nil	Nil
Pledge invocation	Nil	Nil	Nil	Nil
Margin Pledge / unpledge Charge	Rs. 10/- per setup	Rs. 10/- per setup	Rs. 10/- per setup	Rs.10/- per setup
Margin Re-pledge / unpledge Charge	Rs. 10/- per setup	Rs. 10/- per setup	Rs. 10/- per setup	Rs.10/- per setup

### NOTES :

- Cheque retruned charges will be levied @Rs. 110/- per instrument.
- The above rates are based on the existing CDSL charges and may change on revision by CDSL.
- The scheme once selected can be changed at the end of financial year.
- Refundable deposit will be repaid only on closure of account. No adjustment will be made in the interim.
- Any extra statement would be charged @ Rs. 25/- per statement for one page thereafter it would be charged @ Rs. 2/- per page.
- Statutory levies as applicable would be charged extra.
- Cheque in favour of Wealth First Portfolio Managers. Ltd.
- Documentation charges for Corporate Body shall be Rs. 1000/- p.a.

Please select any one scheme (by ticking) :  Scheme A  Scheme B  Scheme C  BSDA

### B. O. Signature

First / Sole Holder	

Second Joint Holder	

Third Joint Holder	

# Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

## General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

## Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

## Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that *"no charges are payable for opening of demat account"*.
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

## Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

## Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

## Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

## Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depositor/ from time to time.

## Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

## Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a



First / Sole Holder



Second Joint Holder



Third Joint Holder





**TERMS AND CONDITIONS-CUM-REGISTRATION / MODIFICATION FORM  
FOR RECEIVING SMS ALERTS FROM CDSL**

**DEFINITIONS:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. “Depository” means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. ‘DP’ means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. ‘BO’ means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means “Short Messaging Service”
5. “Alerts” means a customized SMS sent to the BO over the said mobile phone number.
6. “Service Provider” means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. “Service” means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

**AVAILABILITY:**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider’s service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

**RECEIVING ALERTS:**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in ‘ON’ and in a mode to receive the SMS. If the mobile phone is in ‘Off’ mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

**FEES:**

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

**DISCLAIMER:**

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

**LIABILITY AND INDEMNITY:**

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any

time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

**AMENDMENTS:**

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

**GOVERNING LAW AND JURISDICTION:**

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID : 

1	2	0	7	2	3	0	0									
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole/ First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent : 

+91																
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : \_\_\_\_\_

E-mail ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)

**B. O. SIGNATURE**

<b>First / Sole Holder</b>	

<b>Second Joint Holder</b>	

<b>Third Joint Holder</b>	

Place : 

--

Date : 

				2	0		
--	--	--	--	---	---	--	--





# FEMA DECLARATION (IN CASE OF NRI(s) / FOREIGN NATIONAL(s))


To,  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir /Madam,

I/We hereby confirm that I am a /we are non-resident Indian/s / foreign national/s individual/s. I/We also confirm that – I/we have complied with FEMA (erstwhile FERA) regulations and I / we would continue to comply with FEMA (FERA) regulations.

	
<b>First / Sole Holder</b>	

	
<b>Second Joint Holder</b>	

	
<b>Third Joint Holder</b>	

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

Date :					<b>2</b>	<b>0</b>		
--------	--	--	--	--	----------	----------	--	--

(\* To be signed only if second and/or third holder/s is/are NRI/s or FN/s. Not to be signed if second and/or third holder/s is/are resident Indian/s)



**RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)**

Financial Year : \_\_\_\_\_

From : \_\_\_\_\_

Date : --20

To,  
**WEALTH FIRST PORTFOLIO MANAGERS .LTD.**

“Capitol House” 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,

I am / We are regularly Trading with you for Cash and Derivative Market in BSE/NSE. I /we hereby authorized you to do following on my /our behalf:

- I/We hereby give my/our consent to maintain my/our account for fund as **RUNNING ACCOUNT.**
- I/We request you to keep balance lying in my account with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of **BSE/NSE..**
- The actual settlement of funds, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG) / Fixed Deposit shall be done by you on  Monthly  Quarterly interval. You will send quarterly/ monthly settlement/statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 7 working days from the receipt of Statements.
- You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation.
- I/We have noted the following :-
  1. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
  2. I/we may revoke the authorization at any time by giving written notice.
  3. Retention and the actual settlement shall be carried out in accordance with SEBI / Exchange Guidelines.
  4. Any clause which is not in conformity with SEBI and Exchange circular settlement of fund shall stand amended/modified to that extent.
  5. There shall be inter/client adjustment for the purpose of settlement of the running account.

Yours faithfully,

Client Code :

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

<b>Signature of Applicant</b>	

Date : --20





## **ADDITIONAL CLAUSES AGREED BETWEEN STOCK BROKER AND CLIENT AND OR SUB-BROKER FORMING PART OF RIGHTS AND OBLIGATIONS**

### **VOLUNTARY FOR TRADING ACCOUNT**

The following clauses are not part of Uniform set of Documents prescribed by SEBI vide its circular number CIR/ MIRSD/16/2011 dated August 22, 2011. These additional provisions further supplement the clauses and have been added in order to ensure smooth functioning of trading and to enhance the transparency of Stock Broker Client relation. The client is hereby informed that these clauses are voluntarily being agreed at the discretion of Stock Broker and client. The client and Stock Broker in addition, to the above, also agree to the terms and conditions stated herein below:

#### **1. DEFINITIONS & INTERPRETATION:**

Unless repugnant to the context or meaning thereof, words and expressions which are used herein but not defined shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye-laws and regulations of the relevant Exchange.

1.1 Unless repugnant to the context or meaning thereof:

“Designated Accounts” means The Bank Account(s) and the Depository Account(s).  
“Designated Bank accounts” means the current or saving bank account(s) or any funds accounts maintained by the Client (either solely or jointly with another or others) with the Designated Bank(s) for the purpose of depositing funds, and which account(s) has/ have been designated by the client as an Designated Bank Account(s).

“Depository Account” means the depository account(s) maintained by the client (either solely or jointly with another or others) with the designated “Depository Participant” and which account(s) has/have been designated by the client as a Depository Account(s).

“Available Fund balance” means the amount of credit balance in the Designated Bank Account(s) or in the Client account with Stock Broker which is not subject to any lien or other encumbrance (except in favor of Stock Broker) and which is freely available to Stock Broker for blocking and appropriation towards the client’s dues to Stock Broker, an exchange, a Clearing Corporation/ Clearing House, a Business Associate(s) and / or any other individual,

partnership, company, corporation, organization association trust or other entity.  
“Available Stock Balance” means the Securities balance in the Depository Account(s) or in the Client account with Stock Broker which is not subject to any lien or other encumbrance (except in favor of Stock Broker) and which is freely available to Stock Broker for blocking and appropriation towards the client’s obligation to deliver the securities to Stock Broker, to an Exchange to a Clearing Corporation / House and / or to a Business Associate.

“Brokerage” means the amount charged by Stock Broker to the Client as brokerage for a primary / secondary market trade or dealing or for any other services. The term “Brokerage” does not include service tax or other taxes, trade/transaction or other fees (statutory or otherwise) and commissions that may be applicable in respect of the services.

“BSE” means The Bombay Stock Exchange Limited.

“Business Associates” includes the Sub broker/ Agent and such other persons, firms, entities etc. that are either directly or indirectly involved in facilitating the provision of the services and/ or act as franchisees or agents of Stock Broker in relation to the provision of the services.

“Business Day” means any day on which the concerned Exchange (s) is operational for trading.

“Clearing House” or “Clearing Corporation” means the clearing house or clearing corporation (as the case may be), maintained by the applicable Exchange, to act as the agency for effecting delivery and settlement of contracts between clearing member of the Clearing House / Clearing Corporation.

“Client account” means an account opened by Stock Broker in the name of the Client in Stock Broker records, which may, in the discretion of Stock Broker, be an account in relation to a single product / service or an account in relation to more than one product / service.



“Clients ID” means the unique identification assigned by Stock Broker to each Client.

“Client Registration Application Form”/ Client Registration Form/ Know your Client form/ Client Application Form” means the duly completed Client registration application form of Stock Broker filled up and submitted by the client to Stock Broker, to open a Client account and to avail of the Services.

“Depository” means a depository within the meaning of the Depositories Act, 1996.

“Depository Participant” means a participant within the meaning of the Depositories Act, 1996.

- (a) “Derivatives” and “Options in securities”, as defined in section 2 (aa) and 2(d) respectively of the Securities Contract (Regulation) Act, 1956 as amended from time to time; and
- (b) Such other forms of derivatives (if any), that are permitted to be dealt with on the relevant exchange from time to time, in accordance with the Rules, Bye - laws and regulations of that Exchange. “Designated Bank” means such bank(s) and/or entity(ies) as Stock Broker may specify in this behalf from time to time.

“Designated Depository Participant,” means Depository Participant(s) service of Stock Broker.

“E-contract Note” means an electronically generated contract note or a digitally signed contract note issued.

“Exchange” means NSE, BSE and such other Stock Exchange(s), if any, of which, Stock Broker becomes a Stock broker, and over which Stock Broker agrees to offer trading including internet trading services to the Client;

“Exchange Provisions” means the Rules, Bye-laws, regulations, hand books, notices, circulars and resolutions, of the concerned Exchanges or the concerned Depository in force from time to time and includes the minimum requirements for internet trading prescribed by the BSE and NSE, circular relating to Internet based trading service, as issued and amended from time to time.

“Good delivery” in relation to securities, shall mean the timely delivery of freely transferable Securities which are

considered as good delivery securities by the concerned Exchange, SEBI and the concerned Clearing Corporation / House.

“Long Purchase” shall include a purchase order or trade given or entered into by the Client without sufficient available Funds Balance. “Mode” means the channels or means through which the Services may for the time to time being be accessed by clients and through which the service is for the time being rendered by Stock Broker.

“NSE” means National Stock Exchange of India Limited”.

“Internet Trading” means Internet based trading through Order Routing System, being a system approved by the concerned Exchange for enabling Clients to route their orders to their Stock broker over the Internet.

“Internet Trading Service” means the service (being part of the services) offered by Stock Broker to its clients through internet trading, where under the clients can route their orders for trading or dealing in Securities through the Stock broker web site or through internet.

“Outstanding Position” in a security means the quantity and total value of that security purchased (or sold) less the quantity and total value of that security sold (or purchased) by the client and not settled.

“Password” means the alphanumeric code used by the client to access the services that he is entitled to receive. The nature and type of the password may or may not vary upon the Modes through which a service is being accessed by the client.

“Stock Broker Services” or “Services” means those services that Stock Broker (either itself or through its Business Associates) may for the time being be rendering to its clients whether as a Stock Broker of an Exchange or not), and which Stock Broker may agree to render to the client.

“Stock Broker Web Site” means the Stock Broker web site or such other web site as may be hosted by Stock Broker for access through the Internet, through which Stock Broker offers the services.

“SEBI” means Securities and Exchange Board Of India.

“Securities” shall include:

- (i) Shares, scrips, stocks, bonds, debentures, debenture stock or other marketable securities of a like nature in or of any incorporated company or other body corporate;
- (ii) Derivatives
- (iii) Units of any other instrument issued by any collective investment scheme to the investor in such schemes.
- (iv) Government Securities.
- (v) Such other instruments as may be declared by the Central Government to be securities.
- (vi) Rights or interests in securities.
- (vii) Any other securities and instruments that are tradable on any exchange; and
- (viii) Any other securities or instruments that Stock Broker may hereinafter notify to its clients as being “Securities” for the purposes of this document.

“Short sale” shall include a sale order or trade given or entered into by the client without sufficient available stock balance.

Squaring of a position means executing a trade or order so that the Outstanding Position in a Security is set off in full or part and the terms “Square Off” shall be construed accordingly.

“Stop Order” means a stop transfer or similar order lodged with the relevant issuer, register or fiscal / governmental body and “Stop Order Notice” shall be construed accordingly to include officially published notice of loss, theft, cancellation, opposition or nullification proceedings.

“System” includes,

- (i) The system hosted by Stock Broker and/ or a Business Associate on the Internet through which the internet trading Service is offered.
- (ii) The system implemented / installed by Stock Broker and / or the Business Associates, for accepting orders and providing any part of the service through the Modes.
- (iii) Any other system offered by Stock Broker and/or its Business Associates that provides or enables the use of Modes.

“Trading Hours,” means such period of a Business Day during which the concerned

Exchange offers trading facilities to its Stock Brokers. “Username” means alphanumeric login identification, which may be used by the client for accessing his Client account (s) for availing the services through the Modes.

1.2 Headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision.

1.3 Addendum, annexure, and schedules, if any, to this document shall form an integral part.

1.4 Unless repugnant to the context or meaning thereof;

(i) Reference to the singular includes a reference to the plural and vice versa,

(ii) Reference to any gender includes to all other genders,

(iii) References to recitals, clauses, schedules and annexure shall be deemed to be a reference to the recitals, clauses, schedules and annexure.

(iv) References to a person shall include its personal representative, and

(v) Reference to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye law, regulation, business requirement, specification, order or other provision made under it.

#### 1.5 TYPES OF SERVICES OFFERED

Stock Broker agrees to provide, subject to the terms of this document, such of the following services as Stock Broker may in its discretion from time to time determine to offer to the client and the client agrees to avail from Stock Broker.

(i) Trading Facilities including internet trading.

(ii) Such other services as permitted by SEBI and the exchange from time to time, and which Stock Broker in its discretion may determine to offer its clients. Now, therefore, in consideration of the mutual understanding as set forth in this document, the parties thereto have agreed to the following terms and conditions:

## **2. TO PROVIDE AND AVAIL OF THE SERVICE**

- 2.1 On subject to the terms and conditions of this document Stock Broker, the Exchange Provisions, other applicable laws, the terms of Stock Broker web site, the contract notes / confirmation notes (as applicable) and such other terms and conditions as may become applicable in accordance with law from time to time.
- (i) Stock Broker agrees to provide the services to the client, and
  - (ii) The client agrees to avail of the services.
- 2.2 Stock Broker reserves the sole and exclusive right to determine the modes through which the client may access, receive the Services. Stock Broker reserves the right to, from time to time, discontinue the availability or any Modes to the Client, without any prior notice and without assigning any reasons whatsoever for such discontinuance.
- 2.3 The client hereby authorizes Stock Broker to take all such steps without being obliged to, on the Client's behalf as may be required or advisable in Stock Broker's opinion or discretion for compliance with the Exchange Provisions or any other law or clauses or to complete or settle any trades entered into, through or with Stock Broker and/or its Business Associates or executed by Stock Broker on behalf of the client.
- 2.4 Notwithstanding anything to the contrary in this document, Stock Broker may at any time in its sole discretion, prohibit or restrict the clients access to the Stock Broker Web Site or Services, without any prior notice or without assigning reasons whatsoever. For the avoidance of doubt it is further clarified that Stock Broker may at any time discontinue the availability of, and/or refuse to render, any service (whether previously rendered by Stock Broker to the Client or not) whether generally to all its clients, to a group or groups of clients or to the client alone, without any prior notice if Stock Broker believes that to continue to offer such Services will or may contravene a law or regulation or if based on Stock Broker's reasonable risk perception, the Services ought to be discontinued.
- 2.5 Where Stock Broker has permitted the client to trade, and avail of the services only through the Internet, Stock Broker shall be

entitled (but not obligated) at the entire cost of the client alone, to accept one time instructions from the client through other Modes, such as one time permission from Stock Broker shall not be construed as an authorization by Stock Broker for such client to have access to the Services through such other Modes.

- 2.6 For the avoidance of doubt, Stock Broker hereby reserves the right to offer/make available all or any of the services to the client through a Business Associate(s). Stock Broker shall be entitled to discontinue the services through such Business Associate(s) without any prior notice and shall be further entitled to replace such Business Associate(s) at its sole discretion.

## **3. DESIGNATED ACCOUNTS**

- 3.1 At all times during the subsistence of this document and thereafter until all obligations of the client of Stock Broker have been fulfilled, the client shall maintain one or more Bank Accounts and one or more Depository Accounts for the purpose of facilitating the client's trading and settlement pursuant to this document. Where any bank or depository participant ceases to be a designated Bank or designated Depository Participant, the client shall be obliged and required to open and maintain one or more Bank Accounts and one or more Depository Accounts with a bank and a depository participant is at that time a designated Bank or designated Depository Participant (as the case may be), as a condition to the continuance of the services.
- 3.2 For the avoidance of doubt it is clarified that notwithstanding anything to the contrary contained in this document, Stock Broker shall be entitled to require that the client nominate only one Bank Account and Only one Depository Account as the preferred account for the purpose of facilitating the client's trading and settlement pursuant to this document and as decided by the Stock Broker.

## **4. RISK DISCLOSURE DOCUMENT**

- 4.1 The Stock Broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that:-
- (i) He has read and understood the risk involved in trading on a Stock Exchange.

- (ii) He shall be wholly responsible for all his investment decisions and trades.
- (iii) The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chooses to trade.

## 5. ORDER EXECUTION

- 5.1 The client agrees to abide by the exposure limits, if any, set by the Stock Broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client further agrees to provide information relating to his identity and such other information as may be required while placing orders on the telephone to determine the identity of the client.
- 5.2 The client confirms that the orders entered through Internet trading Service shall be to the client account only and not on account of any third party and further represents, warrants and covenants that he shall not act as unregistered intermediary for any third party.
- 5.3 As a precondition for execution of a purchase order. Stock Broker may in its sole discretion:
- (i) require the client to maintain, at the time of order placement by the client, such amounts as Available Funds Balance in the Client Account with Stock Broker and/or in the designated Bank Account(s) as represents the value of the order as determined by plus any brokerage, service tax, transaction charges, associated costs and such mark up as Stock Broker may determine; and/or
  - (ii) require the client to instruct the designated Bank with whom the client maintains the Bank Account, to block the whole or a portion of the balance in one or more Accounts in order to secure the payment of the purchase price of Securities purchased or to be purchased by the client plus any brokerage, service tax, transaction charges, associated costs and such mark-up as Stock Broker may

determine, and or the payment or performance of any other than current or possible future dues or other obligations of the client; and /or

- (iii) require the amount of margin for the purchase order as prescribed by Stock Broker to be available in the client's margin account, if any, with Stock Broker.

5.4 As a precondition for execution of a sale order. Stock Broker may in its sole discretion;

- (i) require the client, at the time of order placement to maintain such funds required for margin in the Client Account or Bank Account(s) as may be required by Stock Broker; and / or
- (ii) require the client to instruct the designated Bank and/or the designated Depository Participant, with whom the Accounts are for the time being maintained, to block transfer the whole or a portion of the cash and/or Securities balance in one more Accounts in order to secure the delivery of any securities sold or proposed to be sold by the Client, the payment of margin and/or payment or performance of any other than current or possible future dues or other obligations of the client; and/or
- (iii) require the amount of cash margin for the sale order as prescribed by Stock Broker to be available in the Client's margin account, if any, with Stock Broker.

5.5 In case of any security, which is subject of a stop order, the client shall take steps to cause such stop order to be promptly lifted. Any loss and expense on account of a trading/transaction with regard to such security shall be borne by the Client alone and the client hereby agrees to indemnify Stock Broker, its directors, employees, partners, agent's affiliates and Business Associates, in this regard.

5.6 On the day of placement of any order and / or any day thereafter, Stock Broker, in its sole discretion, shall be entitled to instruct the designated Bank and/or the designated Depository Participant, with whom the



accounts are maintained to block, debit and/ or transfer the whole or a portion of the balance in or from one or more associated Accounts in order to secure or effect in favor of Stock Broker the payment of the purchase price of Securities purchased or to be purchased by the client, the delivery of any securities sold or proposed to be sold by the client and/or the payment or performance of margin and any other dues or obligations of the client. In addition, Stock Broker shall be entitled to, at any time, give such instructions to the designated Bank, Business Associate and/or the designated Depository Participant with whom the accounts are maintained, for the payment or delivery of any amount or Securities which are then or may thereafter become payable or deliverable by the client to Stock Broker or any of its Business associates, and the client agrees that such designated Bank, Business Associate and/ or the designated Depository Participant shall give effect to such instructions, and the client shall not do or omit to do anything which may prevent such designated Bank, Business Associate and/ or the designated Depository Participant from acting on Stock Broker's instructions.

5.7 The Client agrees that to the extent permitted by the law for the time being in force

- (i) instructions given by Stock Broker to the designated Bank, Business Associate and/or designated Depository Participant under clause above to block/debit and / or transfer funds or securities in or to debit or transfer from an Account in connection with a trade/transaction entered into or to be entered into by the client with or through Stock Broker will be given first priority over any instructions or Cheques given or issued by the client or any joint account holder by itself or through any other attorney of the Account.
- (ii) funds or securities once blocked on the instructions of the client or Stock Broker and / or Business Associate in connection with a trade / transaction entered into or to be entered into by the client with or through Stock Broker or any Business Associate can be

released only with the express written consent of Stock Broker or any Business Associates to the designated Bank, any other Business Associate and/or the designated Depository participant, and

- (iii) if the client or Stock Broker has given any blocking, holding, debit or other instructions in respect of any funds or Securities in any Account in connection with or through Stock Broker or any of its Business Associate, and the designated Bank and/or the designated Depository Participant with whom the Accounts are maintained, receives transfer, debit or other instructions in respect of such funds or Securities from the Client, then such designated Bank and/or the designated Depository Participant shall first give effect to the instructions issued by Stock Broker or its Business Associates.

5.8 All orders authorized by the client for the purchase/ sale of the securities, which may be listed on more than one exchange may be executed on any Exchange by Stock Broker unless otherwise specifically directed by the client at the time of submitting the order.

5.9 The client shall be allowed to trade or deal only during Trading Hours. However, Stock Broker may at its discretion, agree to receive orders even outside Trading Hours. Stock Broker may accumulate such orders received outside Trading Hours and route such orders for possible execution when the concerned Exchange next opens for trading.

5.10 The client agrees to ensure that all orders and instructions which Stock Broker receives from the client are absolutely clear and unambiguous, and the client agrees that if any instructions or orders or any details thereof are not absolutely clear and unambiguous, the Stock Broker, its employees or authorized representative shall be entitled to refuse to execute an incomplete or ambiguous instruction. The client shall be solely liable for any error made in composing or transmitting an instruction to Stock Broker.

5.11 Stock Broker shall have the right to refuse or to accept the whole or a part of any order

or instruction received by Stock Broker from the client, and / or refuse to execute the whole or a part of any accepted order or instruction, in particular and without prejudice to the generality of the foregoing. Stock Broker may refuse to execute or accept the whole or part of any order or instruction; (i) based on Stock Broker risk perception of such order; or instruction; or if Stock Broker believes that to accept or execute such an order or instruction will or may contravene a law or regulation or if the order is out of the limits of the available fund balance or available stock balance of the client.

5.12 Stock Broker may employ / authorize sub brokers and / or agents to act on its own behalf or on behalf of the client, in connection of execution of any order or consummation of any order dealing hereunder, and Stock Broker shall be responsible only for reasonable care in the selection, appointment and / or action of such Sub-broker and / or agent.

5.13 In the event of amount outstanding from the client, the Stock Broker may, but shall not be bound to, at its discretion and at the risk and cost of the client at any time square of all or any outstanding positions of the clients on any / all exchanges(s) and segment(s) in such manner as Stock Broker thinks fit and without any prior notice to or approval of the client. The client agrees to pay and bear and pay the losses arising from such square of in particular and without prejudice to the loss generated of the above. If the client has entered into a short sale or long purchase then Stock Broker shall be entitled to, at any time before the client has squared of his short sale or long purchase position Square of and / or carry forward the whole or part of the short sale or long purchase position on any day, at the price determined by Stock Broker or at market price and in any manner as Stock Broker thinks fit, or permit the Exchange to close or auction such position; and the aforesaid shall be at the client's risk and cost including brokerage, trade transaction charges and penalty on square of / close out.

5.14 Stock Broker shall have the right to retain and / or set of and adjust any amounts payable to the client against any present or future receivables from the client. (Whether accrued or contingent) More particularly Stock Broker shall have the right to;

- (i) Set of and adjust all funds receivables collateral / margins of the client lying with Stock Broker and / or with the designated Bank with whom the bank account is maintained and / or any amount payable to the client against the dues and receivables of, and amounts payable by the client, across segments and / or exchanges for the settlement of dues and / or for margin / collateral requirements of the client without any reference / notice to the client.
- (ii) Set off and adjust all securities of the client lying with the Stock Broker or with the designated Depository Participant with whom the designated depository account is maintained across segments and / or exchanges for the settlement of the client's outstanding positions in any segment of exchange, without any reference or notice to the client.
- (iii) Set off / adjust all funds receivables collateral / margins of the client lying with the Stock Broker and / or with the designated Bank with whom the bank account is maintained and / or any amounts payable to the client, as well as all securities of the client lying with Stock Broker and / or the designated Depository Participant with whom the depository account is maintained in relation to a particular service, against all present and future dues and receivables of, and amounts payables by the client in relation to any other service or for the settlements of the clients outstanding positions in relation to any other service, without any reference to the client. The client hereby waives any and all objection to, and hereby authorizes Stock Broker to adjust / appropriate its funds receivables and margins collaterals and / or securities as aforesaid.

5.15 In any case, Client's securities shall not be held/transferred in Stock Broker's demat account, All transfer of securities shall be either through Block Mechanism or Margin Pledge and Margin Re-Pledge Mechanism.

## **6. ORDER MODIFICATION / CANCE**

6.1 In the event the Client desires to modify / cancel the order (Cash and / or Derivatives segments respectively) then the same may be informed to the Stock Broker by telephone or orally or in writing by sending a fax or through E-mail, sms, chat for

modifying / canceling the order (Cash and / or Derivatives segments respectively) on the trading system by the Stock Broker. Upon such modification / cancellation of order (Cash and / or Derivatives segments respectively) by the Stock Broker, the Client shall be informed within a reasonable period of time by telephone or orally or in writing or by sending a fax to the Client or through E-mail, sms, chat, if available with the Client. However, if the order (Cash and / or Derivatives segments respectively) results in a trade in the meantime, the requests for modification or cancellation cannot be executed by the Stock Broker.

- 6.2 In the event of the Client requires an executed trade (Cash and / or Derivatives segments respectively) to be cancelled, the Client shall give the request for trade cancellation in writing and the Client further agrees that the right to approve or reject the cancellation of trade rests with the exchanges.
- 6.3 When the Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the Client's request for cancellation is received and the order is successfully cancelled before it is executed.
- 6.4 The Client shall not be entitled to presume an order as having been executed or canceled until a confirmation from the Stock Broker is received by the Client.
- 6.5 The Exchange may annul a trade suo-moto without giving a reason therefore. In the event of such annulment, the Stock Broker shall be entitled to cancel the relative contract(s) with the Client.

## **7. SHORTAGES:**

In case of purchase of securities in Cash Segment by the Client, at times the Stock Broker may be unable to deliver the securities to the said purchaser on the pay out day on account of events out of the control of the Stock Broker such as non receipt of the securities from the exchange(s), non receipt of the said securities from another Client of the Stock Broker who has sold the securities against the said purchase transaction. In cases of such short delivery, the securities shall be delivered to the purchaser as per the policy of the Stock Broker as amended from time to time.

## **8. OBLIGATIONS IN THE EVENT OF SHORT SALES:**

In the event that the Stock Broker makes a short sale of any securities on the instructions of the Client in Cash segment and the latter fails to deliver the securities either, fully or in part, the Stock Broker shall have the express authority, and the Client hereby gives to the Stock Broker such express authority, to buy or otherwise arrange for the securities in question to meet the obligations arising out of such failure of the Client, without any further reference to the Client. The Client shall be responsible for any loss that may be sustained by the Stock Broker as a result of such failure of the Client. Notwithstanding the aforesaid, the Stock Broker shall be entitled in its discretion, to effect a short delivery to the Client for a purchase trade in Cash segment, inter alias, where the counter-party, being the seller(s) in the respective transactions, deliver(s) short to the exchange, and exchange is not able to buy-in the Securities falling short on behalf of the defaulting party and therefore closes out the transaction as per the Rules, Byelaws and Regulations of the exchange.

## **9. CLOSE OUT:**

Without prejudice to the Stock Broker's other rights (including the right to refer a matter to arbitration), the Stock Broker shall be entitled to liquidate/close out all or any of the Client's position in Cash and / or Derivatives segments for non-payment of margins, other amounts due from the Client to the Stock Broker, exchange, a Clearing Corporation, any agent or Sub-broker of the Stock Broker and/or any other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the Stock Broker, or any other outstanding debts, etc and adjust the proceeds of such liquidation / closing out, if any against the Client's liabilities/ obligations as set out herein. Any and all losses, financial charges and/ or incidental expenses incurred by the Stock Broker on account of such liquidation/closing out shall (at the discretion of the Stock Broker), be reimbursed by the Client/charged to and borne by the Client/ deductible by the Stock Broker from the monies and/or collateral margin in Cash and / or Derivatives segments of the Client available with the Stock Broker.

## **10. DISCRETION:**

The client authorizes the Stock Broker to use his discretion to buy, sell or close out any part or all of the positions held in the clients account



with the Stock Broker for the protection of the Stock Broker. The client agrees to reimburse any or all such incidental expenses incurred by the Stock Broker.

## **11. TRANSACTIONS AND SETTLEMENTS:**

11.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the Stock Broker's internet and other trading System via the Client's Username shall be deemed to have been given by the Client.

11.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions. The Stock Broker shall be free to prescribe from time to time deadlines for payment that are reasonably in advance of the deadline for pay-in by the Stock Broker to the stock exchange's clearing system. The Client shall adhere to such payment deadlines and delays shall attract interest in accordance with this document.

11.3 The Stock Broker may from time to time impose and vary limits on the orders which the Client can place through the Stock Broker's internet and other Trading System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The Client is aware and agrees that the Stock Broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Stock Broker's risk perception and other factors considered relevant by the Stock Broker, and the Stock Broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client agrees that the Stock Broker shall not be responsible for such variation, reduction or imposition or the Client's inability to route any order through the Stock Broker's internet and other trading System on account of any such variation, reduction or imposition of limits. The Client understands and agrees that the Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the Client's ability to place orders or trade in securities through the Stock Broker.

11.4 Though orders will generally be routed to the Exchange's computer systems within a

few seconds from the time the order is placed by the Client on the Stock Broker's internet and other trading System, the Stock Broker shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.

11.5 The Client agrees that the Stock Broker may, at its sole discretion, subject any order placed by a Client to manual review and entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.

11.6 In case of a market order, the Client agrees that he will receive the price at which his order is executed by the exchange's computer system; and such price may be different from the price at which the security is trading when his order is entered into the Stock Broker's internet and other trading System.

11.7 All securities and/or funds in the designated Accounts respectively or in the client account or otherwise with Stock Broker (whether such accounts be single or joint) shall be subject to a lien for the discharge of any or all current or future indebtedness or any other obligation (including contingent indebtedness or obligation) that the client may have towards or through Stock Broker and/or its Business Associate; and the same may be held by Stock Broker as security for the discharge thereof. In enforcing its set of lien and/or other rights, Stock Broker may, in its sole discretion determine which securities are to be sold or appropriated, which account is to be debited or which outstanding positions are to be closed.

11.8 All Cheques, drafts, pay orders etc issued by the client against his/its pay-in/ collateral / margin/ other charges etc shall be strictly containing his/its client code (trading account code) or unique client code. The client agrees and confirm that any Cheques, demand draft, pay order issued without such details shall not be credited in the client's ledger account unless verification, to the satisfaction of Stock Broker is produced by the client, and the client shall not claim the said amount from Stock Broker in the event that such is credited to any other client's account. The client agrees that payment instrument tendered by him shall always be subject to realisation. The tendering of payment instrument to Wealth-



First does not mean payment unless the same is credited to the bank account of Wealth-First as available credit. The client hereby authorizes the Stock Broker to keep the utilized margin deposit / credit balance lying with the Stock Broker in bank deposit and/or in such other mode / instrument as may be permitted by the exchanges / SEBI from time to time. The client hereby further agrees and confirm that any benefit including interest arising out of the above will be solely of Stock Broker and client shall not have any right, share or claim in such benefit including interest earned from the utilized margin deposit / credit balance kept in bank deposit and in such other mode / instrument as may be permitted by the exchanges / SEBI from time to time.

11.9 The client shall not acting alone or in concert with others, directly or indirectly hold and control derivatives future contract in excess of the number of permitted futures contracts as fixed from time to time by the exchange.

11.10 The client shall not exercise a long purchase or short sale, whether acting alone or in concert with others, directly or indirectly, in excess of the number of permitted futures contracts as may be fixed from time to time by the exchange.

## **12. USER NAME AND PASSWORD**

12.1 The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet System and other trading system or any other Services.

12.2 The Client is aware that the Stock Broker's Internet System itself generates the initial password and that the Stock Broker is aware of the same. The Client agrees and undertakes to immediately change his initial password upon receipt thereof. The Client is aware that subsequent passwords are not known or available to the Stock Broker.

12.3 The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock Broker's internet and other System using the Client's Username and/ or Password whether or not such person was authorized to do so.

12.4 The Client shall immediately inform the Stock Broker of any unauthorized use of

the Client's Username or Password with full details of such unauthorized use including the date of such unauthorized use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorized use, etc.

12.5 The Client acknowledges that he is fully aware of and understands the risks associated with availing of a service for routing orders over the Internet including the risk of misuse and unauthorized use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on the Stock Broker's internet System and unauthorisedly routing orders on behalf of the Client through the System. The Client agrees that he shall be fully liable and responsible for any and all unauthorised use and misuse of his Password and/or Username and also for any and all acts done by any person through the Stock Broker's internet System on the Client's Username in any manner whatsoever.

12.6 The Client shall log off from the internet Service at any time the Client is not accessing or using the Service and any liability incurred to the Client as a consequence of the Client not logging off the Service shall borne solely by the Client.

12.7 Without prejudice to the provisions of above clause, the Client shall immediately notify the Stock Broker in writing with full details if:

- (i) he discovers or suspects unauthorised access through his Username, Password or account,
- (ii) he notices discrepancies that might be attributable to unauthorised access,
- (iii) he forgets his password or
- (iv) he discovers a security flaw in the Stock Broker's internet and other trading System.

12.8 In any of the above events specified in above clause, 12 the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request the Stock Broker in writing to discontinue his old Password; and thereupon the Stock

Broker shall cause the Stock Broker's internet System to discontinue the use of the Client's old Password and the Stock Broker's internet System shall generate a new Password for the Client which shall be communicated to the Client. At no point 12 in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the Password.

### **13. ISSUE OF DIGITAL CONTRACT NOTES, BILLS, ACCOUNT STATEMENTS AND PERIODIC REPORTS:**

- 13.1 The Client hereby agrees to receive the contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in electronic form through email id provided by client to the Stock Broker.
- 13.2 The Stock Broker shall send the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. to Client for the trades/ transactions done on the Exchange.
- 13.3 Client hereby agrees to complete the necessary formalities that are required to be completed with regard to the provisions of the Information Technology Act, 2000 and the procedure prescribed for receiving the e-contract notes from the Stock Broker in respect of the trades/ transactions done through the terminal of the Stock Broker.
- 13.4 Client shall provide the email id to enable the Stock Broker to send the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. from time to time to client through the software installed at the Stock Broker's end and client shall initially download Signature Verifier utility or any other software as may be advised by the Stock Broker from time to time on client's computer and the same shall be used for receiving, viewing, storing the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. that shall be sent by the Stock Broker from time to time in respect of the trades/ transactions/transfer of securities that have been executed by the client through the terminal of the Stock Broker.
- 13.5 Client shall be responsible to retrieve and retain the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in electronic form

through e-mail id. The Stock Broker shall upon the written request by client may provide/forward the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. in respect of the relevant period required by the client to the email id of client.

13.6 The Stock Broker shall provide the Signature Verifier utility (Digital Signature Verification) to the client and the client shall use the password/Digital Signature password for viewing, retrieving the e-contract notes, bills, ledgers, transaction statements, reports, letters, circulars, notices, etc. sent to client from time to time through the Signature Verifier utility provided by the Stock Broker. The client acknowledges that the service may require the client to use a password/ Digital Signature password and the email account and that the client will be responsible for the confidentiality and proper use of the same at all times.

13.7 The Client hereby agrees that the e-contract notes, bills, ledger, transaction statements, reports, letters, circulars, notices etc, in Cash and /or Derivatives segments that are sent from time to time to the client's email id duly digitally signed and encrypted as attachment or otherwise shall be deemed to have been delivered to the client in the event of non receipt of bounced mail notification by the Stock Broker through e-mail id. Further, the client hereby agree that if no queries are raised in respect of trades / transactions or transfer of securities that are appearing in the e-contract notes, bills, ledger, transaction statements, reports, letters, circulars, notices etc. issued to the client from time to time by Stock Broker, Stock Broker shall not be responsible for non delivery and it shall presume.

### **14. COLLATERAL AND MARGIN**

14.1 The client agrees and undertakes to immediately deposit with Stock Broker, such amount of and such type of collateral and margin, as Stock Broker may in its sole discretion from time to time requires as and by way of an interest free collateral / margin. The manner in which the client shall validly deposit such collateral margins is set out in following clauses.

14.2 Stock Broker shall have the sole and absolute discretion to refuse any collateral/

margin offered by the client and shall be entitled in its sole discretion to revise the amount of and/or modify or revise the type of collateral/margin it shall require from the client from time to time. Stock Broker shall also be entitled to prescribe haircut percentages from time to time in relation to any collateral / margin and revise the same at any time without giving any prior notice to the client. Current haircut percentages in relation to collateral / margins shall be provided by Stock Broker shall be otherwise available upon demand at Stock Broker office(s) and/or the offices of its Business Associates, and the client agrees to keep himself updated in respect thereof.

14.3 The client hereby gives to Stock Broker an irrevocable and unconditional right to appropriate any collateral or margin, without any reference to the client in order to discharge any indebtedness or any other obligation (including contingent indebtedness or obligation) that the client may owe to Stock Broker and/or Business Associate.

14.4 Without prejudice to the provisions of aforesaid clauses (including the right to refer a matter to arbitration) in case the client does not provide the required collateral / margin or other amounts, outstanding debts, act, within the time frame specified by Stock Broker, Stock Broker shall have the right to;

- (i) Appropriate and/or transfer and/or sell all or any securities cash or collateral in the client account and/ or instruct the designated bank/ business associate and / or designated depository participant (as the case may be) with whom the accounts are maintained to sell and/ or transfer all or any funds securities in any account and retain the proceed thereof; However in case of securities, such securities shall not be transferred to stock broker's demat account except using Margin Pledge-Repledge facility.
- (ii) Liquidate / close out/square of all or any outstanding positions.
- (iii) Prevent any new orders from being placed and/ or executed by the client; and or
- (iv) Take such other action as Stock Broker thinks fit and proper. Stock

Broker may exercise all or any of the above rights in such manner as it thinks appropriate.

It is clarified for the avoidance of doubt that all losses, financial charges on account of such liquidation / closing out as is referred to in clause (ii) above shall be charges to and borne by the client.

14.5 Stock Broker shall be entitled to debit all costs / expenses incurred by it in relation to or associated with the margins/collaterals of the client to the client account.

## **15. CREATION OF CHARGE / LIEN OVER COLLATERAL / MARGIN**

15.1 Stock Broker shall from time to time prescribe and/or vary the manner in which any collateral margin can be secured in favor of Stock Broker.

15.2 Without prejudice to the generality of the provisions contained in Clause above, Stock Broker may require the client to furnish all or any of the following;

- (i) Securities : In case of securities, securities shall be pledged as collateral using Margin Pledge Facility and Which in turn shall be repledged with Clearing Corporation / Clearing member.
- (ii) In the case of collateral / margin of a type or nature other than as aforesaid, that Stock Broker may from time to time accept as collateral/margin, the manner in which such collateral/ margin shall be validly deposited with Stock Broker shall be such as shall be prescribed by Stock Broker from time to time in relation to such type of collateral/margin.
- (iii) The client authorizes Stock Broker to set of and adjust the outstanding debit balance in its client account against credit available in any other account with any other companies of Stock Broker & vice versa.
- (iv) The client agrees that all monies, securities or other property that may be held by the Stock Broker on the client's account shall be held subject to a general lien for the discharge of the client's obligation to the Stock Broker under this document.



## **16. APPOINTMENT OF BROKERS AND / OR AGENTS :**

The Stock broker may employ/ authorize sub-brokers and/or agents to act on its own behalf or on behalf of the Clients in connection with execution of any other or consummation of any other dealing here under, and the Stock Broker shall be responsible only for reasonable care in the selection, appointment and/or action of such sub-broker and/or agent.

## **17. TRADING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE:**

The Stock Broker shall at its discretion provide the following services to Clients, as and when the Stock Broker may deem fit thro' notification in this regards on its website on the conditions stated hereinafter:

17.1 The Stock Broker or the concerned Mutual Fund / Issuer or their respective registrars shall entertain online transactions request and / or requests made through telephone in the manner provided under this document.

17.2 The Client undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including Initial Public Offerings, Right Issue Buyback Offers, etc. offered through its website; before entering into any transactions through its website.

17.3 The Client is requested to check up the personal and bank related details provided by him. Neither the Stock Broker nor any of the Mutual Funds / Issuers chosen shall accept any liability which may arise as a consequence of the erroneous information provided by the client.

17.4 In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, at the Net Asset Value prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut of time as specified on the web site and consistent with the terms of the Scheme. The Stock Broker shall take all the necessary action to ensure that the NAV allotted is the NAV applicable on the date of transaction. However the Stock Broker shall not be liable for any loss that may arise to the client as a result of correct NAV not being allotted to the client's transactions on the website. Any request

falling due on holiday would be processed on the next business day and respective NAV would be applicable as per the mutual funds offer documents.

17.5 In case of other securities, the order of purchase, sell, offer under Buy Back etc. shall be accepted by the Stock Broker only if the same is received by the cut of date as indicated on the website and consistent with the terms of offer.

17.6 The client can view his / her / its transactions on the web site. The physical copy of the transactions statement or the account statement shall be sent only on the request of the client.

17.7 The Stock Broker does not accept any liability for delay in processing time at the Mutual Fund's / Issuers or Registrars' end.

17.8 It is explicitly stated herein that the Mutual Funds Schemes / Offer Documents / other schemes offered by the Stock Broker, has not been recommended by the Stock Broker.

17.9 Neither the Stock Broker, nor any of the Mutual Funds / nor the Issuer shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by system failure, network errors delay or loss of data due to above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion or war.

17.10 The Stock Broker shall provide its services on a best efforts basis. However the Stock Broker shall not be liable for any failure or for any loss, damage or other cost arising in any way out of: System failure including failure of ancillary or associated systems, or fluctuations of power, or other acts of God/ force majeure; Accident, Transportation, neglect, misuse, errors, frauds of the client's or agents or any third party, or Any fault in any attachments or associated equipments of the client; Any incidental, special or consequential damages including without limitations of loss of profit.

## **18. TAPE RECORDING OF CLIENT CONVERSATION:**

The Client is aware that the Stock Broker may tape-record the conversations between the Client or the Client's representative and the Stock Broker, either personally or over the telephone, and the Client hereby specifically permits the Stock Broker to do so in Cash and/

or Derivatives segment transactions. Such electronic recordings may be relied upon by the Stock Broker as and when required to resolve disputes in connection with the trading transactions.

#### **19. INDEMNIFICATION:**

The Client shall indemnify and keep indemnified the Stock Broker harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the Stock Broker directly or indirectly, owing to bad delivery of shares / securities and / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings/operations in Cash and / or Derivatives segments on the Exchange(s).

#### **20. ATTACHMENT :**

The Stock Broker shall not be liable for refusing to obey orders in Cash and / or Derivatives segments given by or for the Client with respect to its account(s) with the Stock Broker (including without limitation any Client Account) which has or have been subject to attachment in any legal proceeding or under any applicable law for the time being in force, against the Client and the Stock Broker shall not be under any obligation to contest the validity of such attachment or sequestration. Further, the Client shall be liable to indemnify the Stock Broker from and against any loss or expense suffered and/ or incurred by the Stock Broker as a result of such attachment.

#### **21. BROKERAGE, COMMISSIONS, FEES, AN SPECIAL FINANCIAL CHARGES:**

21.1 The client agrees to pay Stock Broker brokerage, commission, fees, service tax, other tax, trade/ transaction expenses and statutory levies as they exist from time to time and as they apply to the client for the services and the modes made available. Stock Broker may deduct and appropriate any of the aforesaid amount from any amount payable by Stock Broker to the client or may instruct the designated bank with whom the bank account is maintained and/or business associate (as the case may be) to transfer such amount to Stock Broker from any bank account.

21.2 The client agrees that Stock Broker may from time to time in its sole discretion but

subject to the exchange provisions determine and modify the amount of brokerage, commissions, fees and other amounts payable by the client. A schedule of current brokerage, fees and commissions, applicable service and other taxes and other trade/ transaction expenses shall be available upon demand at Stock Broker's office(s) and / or the office(s) or business associates notified by Stock Broker for this purpose, and the client agrees to keep himself updated in respect thereof;

21.3 Without prejudice to any other provision of this document the client understand and agrees that Stock Broker may charge an additional financial charges according to the usual custom of the market. On the dealing made under or pursuant to this document

For any extra service(s) rendered by the Stock Broker or On the balance outstanding payable to the Stock Broker. The client agrees that without prejudice to any other remedy or right prescribed in these presents, the Stock Broker may charge interest at 2% per month or such other rate as may be communicated from time to time for any delay in the payment of balance, charges, margin or any others sum due to the Stock Broker as the case may be. For such extra / reasonable costs, including legal fees, incurred by the Stock Broker for collecting the dues payable by the client to the Stock Broker, an exchange, a clearing corporation / clearing house, any agent or sub broker of the Stock Broker and/or any other individual, partnerships, corporation, company, organization, associates, trust or other entity acting for or on behalf of the Stock Broker.

#### **22. (i) DEFAULT:**

The client agrees that he shall be deemed to have defaulted these terms in circumstances including, but not restricted to the following: Any delay in payment of dues, margins, charges or delivery of securities in respect of the document for transactions executed on behalf of the client.

Any contravention of the terms contained in the document or on the website. Any misrepresentation or false statement or

omission or misleading information supplied by the client to the Stock Broker.

(ii) **CONSEQUENCES UPON DEFAULT:**

In the event of default under these terms and conditions by the client, the Stock Broker shall be entitled to any or all of the following courses of action:

Termination of provision of services. Other remedies as may be available in terms of the law in force at that point of time.

**23. CONFIRMATION:**

23.1 It is hereby specifically agreed that the client will call the Broker and take confirmation from the Broker or access the same on his / its email ID. Any discrepancies in the trades for the day must be pointed out at the time of confirmation or latest before the opening of the market the next day failing which the Stock Broker will not be liable for the resultant financial loss, if any. The client confirms the acceptance of contract note through email ID and in the event of non receipt of the same for any reasons within 24 hours accepts to download from the website [www.wealthfirstonline.com](http://www.wealthfirstonline.com) when such facility is provided by the Stock Broker. In case the client does not point out discrepancy, if any, within 24 hours of receiving the contract note, the same shall be treated as correct. It shall be the responsibility of the client to send the original contract note in case of discrepancy to the Stock Broker within 24 hours of receipt.

23.2 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him through the Stock Broker's internet System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other electronic means. It is the responsibility of the Client to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other electronic means, all confirmations of transactions or cancellations.

**24. INFORMATION:**

The Client agrees to furnish such details including details as regards financial position, assets, liabilities etc. as and when required to do so by Stock Broker.

**25. INSIDER TRADING, MANIPULATIVE, FRAUDULENT AND UNFAIR TRADE PRACTICES:**

The client hereby agrees that he has fully understood and is aware of Securities and Exchange Board of India (Prohibition of Fraudulent and Unfair Trade Practices Relating to Securities market) Regulations, 2003, and the SEBI (Prohibition of Insider Trading) Regulations, 1992. The client represents, warrants and agrees that he shall not indulge into any act or carry out any transaction or transactions, directly or indirectly which are in violation of acts, rules, regulations, bye-laws and circulars governing securities transactions. The client further agrees to provide such information as may be sought by the Stock Broker in connection with any enquiry or investigation from any authority and shall provide all necessary assistance as sought by the Stock Broker.

**26. INVESTMENT ADVICE:**

26.1 The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

26.2 The Client also acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Stock Broker or any of its employees.

26.3 The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock Broker shall not be liable or responsible for the same.

26.4 The Client assumes full responsibility with respect to his investment decisions and transactions.

26.5 The Stock Broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

**27. REPRESENTATIONS AND WARRANTIES OF CLIENT:**

The Client represents and warrants to the Stock broker that:



27.1 All the information provided and statements made in the Client's internet or other Account Application are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and the Client is aware that the Stock Broker has agreed to provide the Stock Broker's internet Service to the Client on the basis, inter alia, of the statements made in the Client's internet Account Application.

27.2 The Client is aware and acknowledges that trading over the Internet and other trading terminals involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and the Stock Broker's internet Service and other trading terminals may at any time be unavailable without further notice. The Stock Broker and the Exchange do not make any representation or warranty that the Stock Broker's internet Service and other terminals will be available to the Client at all times without any interruption. The Client agrees that he shall not have any claim against the Exchange or the Stock Broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock Broker's internet System or other Services or the Exchange's service or systems for any reason whatsoever.

27.3 The Client has required legal capacity to, and is authorized to, enter into this Agreement and is capable of performing his obligations and undertakings hereunder.

27.4 All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this document with all applicable laws, shall be completed by the Client prior to such transaction being entered into.

27.5 The Client shall abide by the Exchange Provisions and the terms of the Stock Broker's internet Website in force from time to time.

27.6 Any instructions given by an authorized representative of the Client to the Stock Broker (or to the Stock Broker's representative) shall be binding on the Client.

27.7 The Client agrees that he will not act or represent himself / itself as Sub-Broker of

the Stock Broker without prior written permission of the Stock Broker and without obtaining certificate of registration from Securities & Exchange Board of India (SEBI).

27.8 During the currency of the document, it shall be the duty of the Client to inform the Stock Broker/ sub-broker immediately of any change in constitution, change of name, residential status or any other information as provided by the Client at the time of entering into this document.

27.9 The client agrees and understands that the use of the service by clients, resident or situated outside India, may be subject to the Indian Foreign Exchange Management Act 1999, and the Rules and regulation framed there under and/or other international, federal, state and/or local laws and regulations applicable to such clients, it shall be the sole responsibility of such clients and to ensure and comply at all times with such regulations and the clients indemnifies Stock Broker, its directors, employees, business associates, agents, and affiliates from and against all losses, claims, liabilities and/or expenses which may arise as a result of any failure by the client to comply with the provision of this document.

## **28. REPRESENTATIONS AND WARRANTIES OF THE STOCK BROKER:**

The Stock Broker represents and warrants to the Client that the Stock Broker's internet and other trading System have been approved by the Exchange. Where the internet system has not been approved by the Exchange, the Stock Broker has applied/ proposes to apply to the Exchange to approve the said internet System and the Stock Broker will commence the Stock Broker's internet Service only after the Exchange has approved the Stock Broker's internet System.

## **29. SHARING OF INFORMATION:**

29.1 The Client agrees to immediately furnish information to the Stock Broker/sub-broker in writing in the event that:

Any winding up petition or insolvency petition, or order has been fled or passed against the Client; Any garnishee order has been served upon Client or in respect of Client's obligation; Any litigation has been fled against the Client; Any order, decree or award is passed against the Client; and



/ or Any other event or circumstances occurs that has or is likely to have an adverse effect on the financial position of the Client.

29.2 Upon receipt of information from the Client as aforesaid, the Stock Broker shall be entitled to take such action (in its absolute discretion) as it may consider necessary in order to protect its own interests, including without limitation, liquidating / closing out all outstanding positions of the Client. Any and all losses, financial charges and / or incidental expenses incurred by the Stock Broker on account of such liquidation / closing out shall (at the discretion of the Stock Broker), be reimbursed by the Client / charged to and borne by the Client / deductible by the Stock Broker from the monies and / or Clients collateral / margin available with the Stock Broker.

### **30. LIMITATION OF LIABILITY:**

30.1 The client agrees that under no circumstances including negligence shall Stock Broker or anyone involved in creating, producing, delivering and managing Stock Broker services or system be liable for any direct, indirect incidental, special, general, remote or consequential damages arising out of the use or inability to use or the availability or no availability of the services including but not limited to loss or damage in relation, to (a) loss of profits, trading losses, loss of opportunity or damages that result interruption, delay or loss of the use of the service (b) any claim, loss or damage attributable to errors, omissions or other inaccuracies in the content or Stock Broker website or Internet trading service (c) any unauthorized use, access or alternation or discontinuance of any services, or (d) any other matter relating to the services.

30.2 The client understands and agrees that the services are being provided by Stock Broker with the assistance and technology of some of its affiliates/ associates. Stock Broker disclaims the liability and responsibility and the client agrees and accepts that Stock Broker shall not be liable for any and all loss or damage incurred or suffered by the client or any one else as a result of any action, advice, failure or default attributable to such affiliates/ associates.

### **31. INDEMNITY:**

31.1 The client agrees to indemnify and hold Stock Broker, its Directors, employees, partner, Business Associates, agents and affiliates harmless from and against any and all claims, losses, liability costs expenses (including but not limited to lawyer's fees and penalties or costs imposed by any Exchange and proceedings) arising from out of, or in connection or in relation to the breach of any obligation by the client under or any representations warranty and/or covenant made by the client in this document, Any third party's right arising out of the services rendered by Stock Broker pursuant to this document and Any other wrongful act on the part of the client. 31.2 Neither party shall be responsible / liable, in any manner, for any violation and/or breaches committed by the other party in complying with its obligations under applicable law, government notifications any rules regulations and guidelines issued by SEBI, the rules bye laws and regulations of the relevant exchange as well as the rules and regulations of the clearing house/clearing corporation.

### **32. MARKET DATA:**

32.1 The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Stock Broker or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the Stock Broker nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.

32.2 The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost. The client is authorized to use at the client's risk materials which are made

available by Stock Broker services for the clients own needs only and the client is not authorized to resell or permit access to such materials or to take copies of any such materials or sale or supply to or use by others. The client will not delete Registered Trademarks, copyright or any other intellectual property rights, if any, noticed from any such materials.

### **33. DISCLOSURES BY STOCK BROKER TO CLIENT:**

The Stock Broker discloses to the Client that the Stock Broker may carry on trading in own account in Cash and / or Derivatives segments, as the case may be (i.e. proprietary trading) in addition to acting as agent to the Client for the transactions done on Cash and / or Derivatives segments in exchanges.

### **34. RESERVE BANK OF INDIA GUIDELINES:**

The client is aware that as per the RBI Guidelines, the Foreign Institutional Investors (FIIs), Non Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the Portfolio Investment Scheme (PIS). Under this scheme, FIIs/ NRIs can acquire the shares/ debentures of Indian companies through the Stock exchanges in India. These investments are governed and monitored on daily basis by Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, RBI advises all designated bank branches to stop purchases on behalf of their FIIs/ NRIs/PIOs clients. RBI also informs the general public about the 'caution' and 'stop purchase' in these companies through press release. The client being FII/NRI/PIO hereby acknowledges that he is aware of the RBI Guidelines in relation to his investment in the secondary market in India. The client hereby agrees to keep himself abreast of the ceiling limits on the investments as published by RBI from time to time and also agrees that he shall immediately reverse his transaction, if such transaction breaches the ceiling limits as imposed by RBI. In case the client does not /is unable to reverse such transaction immediately, the client authorizes the Stock Broker to do so under intimation to the client.

### **35. AMENDMENT:**

Stock Broker may at any time amend this document (and related documents entered into by the client with Stock Broker by modifying or rescinding any of its existing provisions or

conditions or by adding any new provisions or conditions, by conspicuously posting notice of such amendment on Stock Broker website or by providing written notice thereof to the client. Continued use of Stock Broker service after such notice will constitute acknowledgement and acceptance of such amendment.

### **36. ASSIGNMENT :**

The client shall not assign any right and obligations hereunder without obtaining prior written consent from Stock Broker.

### **37. TERMINATION OF DOCUMENT :**

This document shall be forthwith terminated in the death, insolvency, liquidation, winding up, dissolution as the case may be of the client and upon such termination the client and his legal heirs, executors and assigns and /or his accounts shall remain liable for all outstanding dues payable by the client to Stock Broker on account of any trading or dealing done by the client, prior to termination.

### **38. SEVERABILITY :**

In the event of any clauses of this document being held to be or becoming invalid, unenforceable or illegal for any reason such invalidity, unenforceability or illegality shall attach only to such provision or condition and this document shall remain otherwise in full force apart from the said provision which will be deemed deleted. The validity of the remaining clauses and conditions shall not be affected thereby and this document shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. Stock Broker shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

### **39. NOTICES:**

39.1 Any notice or other communication to be given by any party to the other in connection with this Document shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name below:

To the Stock Broker at the registered office and corporate office address To the Client at the address appended on Client

Registration Form or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause.

39.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the Stock Broker and the Client may be communicated orally.

**40. EXTRA ORDINARY EVENTS/FORC MAEJURE:**

The Stock Broker and / or its agents will not be liable for losses caused directly or indirectly by government restriction, exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunctions, strikes or any other conditions beyond the Stock Broker's control.

**41. WAIVER:**

No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of this Document shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of this Document or be considered to be a waiver of any right, unless specifically agreed in writing.


**42. LAW AND JURISDICTION:**

42.1 This Document shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the clauses of this document, the courts at Ahmedabad, India shall have jurisdiction over this Document and the arbitration proceedings in relation to the Document.

42.2 This Document and all contracts and transactions between the Stock Broker and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made there under and as amended from time to time.

**43. DISPUTE RESOLUTION:**

Any claim, dispute or difference arising between the Parties hereto in respect of this Document or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Document or the interpretation or construction of this Document shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.


I/We acknowledge receipt of this document.	
	
First Holder	

Name: WEALTH FIRST PORTFOLIO MANAGERS. LTD	
	
Authorised Signatory	

# **BROAD POLICY**

## **POLICY & PROCEDURE**

- 1) Wealth First believes to observe all rules & regulations of respected Exchanges & Regulators.
- 2) The Pay in and Pay Outs are made as per Exchanges Cycles & any delay will attract delay payment charges & squaring of positions will be done fully or partial without any prejudice and net proceeds to be credited / debited to client account.
- 3) Mutual Fund Buying also requires payment very next day morning. So it is preferred to make payment on same day or RTGS next day of purchase.
- 4) We do not Accept any type of “cash” in business.
- 5) If DP is not Wealth First with Auto Pay, it is desirable & in your own interest to make sure the delivery to market on very same or next day of the trade by you.
- 6) Trade confirmation by ‘SMS’ & balance details will be done on designated mobile no., on daily basis.
- 7) Only Electronic Contract notes will be delivered by Email only on daily basis
- 8) Any discrepancy should be brought to notice within 24 hrs of receipt or contract on Email.

	
<b>Signature of Applicant</b>	

Date :   -   -  2  0



# LETTER OF AUTHORITY

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

**Wealth-First Portfolio Managers. Ltd.**

“Capitol House” 10, Paras II,  
Prahlad Nagar, Ahmedabad-380015

Dear Sir,

**Sub.- Letter of Authority / Request to Wealth-First Portfolio Managers. Ltd.**

I, the undersigned, have opened the client / constituent account with **Wealth First Portfolio Mangers Limited** (herein referred to as “WEALTH-FIRST”) for trading / dealing in securities on the Bombay Stock Exchange Limited (BSE) and / or National Stock Exchange of India Limited (NSE). In respect of my dealing / account with you, I hereby request / instruct and authorize WEALTH-FIRST to do the followings:-

1. To accept Instructions in Form of Physical record written & signed by client / Telephone recording / Email from authorized email id / Log for internet transactions / Record of messages through mobile phones / Any other legally verifiable record / instruction for placement / modification / cancellation of orders. Further, I expressly agree that once the trade confirmation is sent by you and / or contract note is accepted by me, there shall be no question in relation to execution or non-execution or inappropriate execution of any of my orders for a particular trading day.
2. To maintain a running account instead of settlement of my dues and / or delivery of securities on a bill-to-bill / settlement-to-settlement basis.
3. To retain the securities received by WEALTH-FIRST on my behalf from Exchange(s) on pay-out or otherwise against my debit balance / dues / exposure / trading limits / open interest / various margins or for any other purpose as and when required by WEALTH-FIRST or as per any regulations of BSE and / or NSE in CUSPA Account or through Margin Pledge System in such designated account. Such retaining / pledging of securities shall be construed as due compliance of the requirement of exchange(s) and SEBI. Further, WEALTH-FIRST has the sole discretion and authority (i) to use / Revoke & Transfer the above securities to the clearing corporation / clearing member / exchange(s) for the purpose of early pay-in / margin or for any other purpose; (ii) to Revoke & dispose / sell the above securities to meet any monetary / other dues / obligation(s) not fulfilled by me towards WEALTH-FIRST / the exchange(s).
4. To hold payout of funds / credit in my account and pay to me only to the extent demanded by me. To use / adjust the credit balance available from time to time in my account(s) for my exposure / trading limits / margin requirements / other dues.
5. However, I prefer to settle the account on following basis:-

Quarterly		Monthly	
-----------	--	---------	--

6. To debit / credit / transfer of amounts, either on same Exchange and / or between various segments of the same exchange and / or between the exchanges across various segment to meet my debit balance or various dues payable to WEALTH-FIRST / Exchanges / DP.
7. To transfer credit / debit balance from mark to mark to market and / or premium account to margin account and vice versa.
8. All the instructions / requests placed by me on WEALTH-FIRST website by using login and Password shall be always binding upon me.
9. I hereby agree to receive through telephone calls / SMS on my mobile number / email ID as registered by me with WEALTH-FIRST, the messages / communications relating to transactions, PIN, passwords, stock ideas, real time news pertaining to market, updates on stock prices and any other messages (including products and services) as sent by WEALTH-FIRST and or its associates from time to time.

Further, I reserve my right to withdraw the above instructions at any time. In such event, I undertake to inform you in writing and such communication shall be addressed to the above address.

Name of Applicant : \_\_\_\_\_

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

	_____
<b>Signature of Applicant</b>	



Dear Sir / Madam,

**Re. : Confirmation of noting**

We confirm that we have made note of the following :

1. That you trade in your OWN / PRO account.
2. That your investor grievance email ID is grievance@wealthfirst.biz for Trading and grievance\_CDSL@wealthfirst.biz for DP.
3. That I have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That we have to furnish / update Financial Details every year to the Member as per SEBI/PMLA requirements.
5. That I / We have read / understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.wealth-firstonline.com
6. That I / We agree/s that I / We am / are responsible for clearing out my debit ledger balance to NIL at least once in a Calendar Quarter / Month.
7. That any Voluntary terms and conditions which is in violation of exchange / SEBI rules and regulations and circular issued from time to time shall become null and void.

Thank you.

	
First Holder	

---

Dear Investor!!

**Subject: Prevention of Money Laundering**

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.





## DEMAT DEBIT AND PLEDGE INSTRUCTION

To,  
Wealth First Portfolio Managers Limited  
“Capitol House”, 10 Paras-II, Nr Prahlad Nagar Garden, Ahmedabad-380015.  
SEBI Reg No : INZ000018333

I / We \_\_\_\_\_  
(Client / BO name) hold a Beneficiary Account No. 12072300\_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited, through your company Wealth First Portfolio Managers Limited having DP-ID 12072300.

And Whereas I am an investor engaged in buying and selling of securities through your company Wealth First Portfolio Managers Limited. and your company is a member of National Stock Exchange of India Ltd. bearing SEBI registration No. INZ000018333 a member of Bombay Stock Exchange Ltd., bearing SEBI registration No. INZ000018333 (a member of BSE STAR MF Platform, bearing Member Code – 6253, a member of NSE Mutual Fund Platform, bearing Member Code – 13463, a member of BSE SLB Segment, bearing Member Code 6253, a member of NSE SLB Segment, bearing Member Code 13463, Further due to exigency and paucity of time, I / We am / are desirous of giving my / our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at “Capitol House”, 10 Paras-II, Nr Prahlad Nagar Garden, Ahmedabad-380015.

I/We hereby authorize the Wealth First Portfolio Managers Limited to transfer securities from the aforesaid account to the below mentioned accounts for the purpose specified herein.

Sr No.	Exchange	Demat Account No	Account Purpose/Type
01	BSE	1207230000000061	CM PRINCIPAL A/C
02	BSE	1207230000000074	CM POOL A/C
03	NSE	1207230000000055	CM POOL A/C
04	BSE	IN300095 11568662	CM POOL A/C
05	NSE	IN300095 11586789	CM POOL A/C
06	SLB	1207230000026143	NSE SLBM CM
07	NSE	1100001100019190	EARLY PAY IN AC NSE
08	BSE	1100001000022794	EARLY PAY IN AC BSE
09	NSE SLB	1100002300000581	EARLY PAY IN AC NSESLBM
10	BSE/NSE	1207230000034401	CLIENT SEC MARGIN PLEDGE A/C
11	BSE/NSE	1207230000057921	CUSPA A/C



I / We request you to register my consent in my above mentioned demat account for following purpose.

Sr No	Purpose	Signature of Client
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.	<hr/> <p>(First/Sole Holder)</p> <hr/> <p>(Second Holder)</p> <hr/> <p>(Third Holder)</p>
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.	<hr/> <p>(First/Sole Holder)</p> <hr/> <p>(Second Holder)</p> <hr/> <p>(Third Holder)</p>
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	<hr/> <p>(First/Sole Holder)</p> <hr/> <p>(Second Holder)</p> <hr/> <p>(Third Holder)</p>
4	Tendering shares in open offers through Stock Exchange platforms	<hr/> <p>(First/Sole Holder)</p> <hr/> <p>(Second Holder)</p> <hr/> <p>(Third Holder)</p>

I, **Accept**,

For, Wealth First Portfolio Managers Limited

Wealth First Portfolio Managers Limited  
"Capitol House", 10 Paras-II, Nr Prahlad Nagar Garden,  
Ahmedabad-380015.

Date :

Place :



**DECLARATION BY HUF AND CONSENT LETTER**

To,  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

With regard to Beneficiary account no. (BO ID) \_\_\_\_\_ And Trading Account \_\_\_\_\_ maintained in the name & style " \_\_\_\_\_ " with DP /Trading (**Wealth First Portfolio Managers. Ltd.**)

We the following family members, being the co-parceners in the HUF account. M/s \_\_\_\_\_ do hereby give our consent that the said karta, viz \_\_\_\_\_ would operate above mentioned BO ID /Trading account as far as shares/securities/MF/currency transactions of the HUF account is concerned.

We further declare and authorized you to recognize the beneficiary Account No. \_\_\_\_\_ with Depository \_\_\_\_\_ opened in the name of the undersigned who is the Karta of the HUF for the purpose of completing the shares/securities/MF/currency transfer obligations pursuant to the trading operations.

I agree and understand that this is to facilitate the operation of the above trading account. The transfer made by you to the beneficiary account shall be complete discharge of obligations by you in respect of trades executed in the above trading account.

**Details of our HUF and all its co-parceners are stated as mentioned below:**

Sr. No.	Name of Family Member	Date of Birth DD/MM/YY	Gender	Relationship with Karta	Signature
01					
02					
03					
04					
05					
06					
07					
08					

I, hereby state that details mentioned above are true and any change in them would be intimated to you in writing.

Title of HUF/ Karta \_\_\_\_\_

**Signature**  
(Karta Rubber stamp)



# DECLARATION BY SOLE PROPRIETOR

Date :    -   - 20

To,  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,  
This is with reference to the trading account opened with you in the name of \_\_\_\_\_ and bearing the code \_\_\_\_\_. I hereby declare that I am the proprietor of the above mentioned firm and authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened in my name. For the purpose of completing the share/securities/MF/currency transfer obligations pursuant to the trading operations. I agree and understand this is to facilitate the operation of the above trading account with you, as a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

**Signature** (Please sign with stamp of the proprietorship Firm)



# DECLARATION BY PARTNERSHIP FIRM

*(To be obtained on Firm's Letter Head or Attested with Firm's Seal)*

Date :    -   -

To,  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
"Capitol House" 10, Paras II, Prahlad Nagar, Ahmedabad-380015

Dear Sir,  
This is with reference to the trading account with you in the name of \_\_\_\_\_ a partnership firm and bearing the code \_\_\_\_\_. We the undersigned partners of the above mentioned firm hereby declare and authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_, which belongs to one of our partner for the purpose of completing the share transfer obligations pursuant to the trading participant in the name of partnership firm as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account firm.

We further confirm that the authorized person can jointly / severally issue instruction to you as our broker for securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of operating this account.

Signature (please sign with stamp of the partnership firm)

We, (Please write name of the partners)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Partners of the firm confirm that any securities due to the Firm's trading account with you, if transferred to the above mentioned Demat account, will constitute good delivery of the obligation. We further state that **Wealth First Portfolio Managers .Ltd.** will not be responsible, if the shares are transferred to the above-mentioned account.

If there is any change in the information given above, same shall be informed to **Wealth First Portfolio Managers . Ltd.** in writing. If any such information not communicate to **Wealth First Portfolio Managers . Ltd.** that **Wealth First Portfolio Managers . Ltd.** will not be liable for losses suffered by the firm or any of the individual partners.

Signature \_\_\_\_\_ Signature \_\_\_\_\_ Signature \_\_\_\_\_

1. Name 2. Name 3. Name

Date :    -   -



# FORM FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND EMAIL ADDRESS

Date			-			-	2	0		
------	--	--	---	--	--	---	---	---	--	--

DP ID	1	2	0	7	2	3	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

To,  
**The Compliance Officer**  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD. BSE (TM Code 6253) NSE (TM Code 13463)**  
 "Capitol House", 10 Paras II. Nr Prahlad Nagar Garden,  
 Ahmedabad-380015.

Dear Sir /Madam,

We/I are/ am aware that BSE, NSE and MCX-SX provides SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as Email from Exchanges  YES/  NO
- I want to receive transaction alerts only in SMS from Exchanges  YES/  NO
- I want to receive transaction alerts only in Email from Exchanges  YES/  NO
- I do not want to receive any transaction alerts from Exchanges, specify reason

---



---

The alerts should be sent on:

Mobile number (enter 10 digit Mobile No.): 

--	--	--	--	--	--	--	--	--	--

Email Id : \_\_\_\_\_

The above Mobile Number Belongs to me / Mr. \_\_\_\_\_

The above Email ID Belongs to me / Mr. \_\_\_\_\_

We/I agree to the terms and condition specified by the Exchanges. We/I are/am aware that the receipt of SMS/ Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

Sr. No.	Name	UCC	Relation	Sign.
1.				
2.				
3.				
4.				
5.				
6.				
7.				



## FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

*Please seek appropriate advice from your tax professional on your tax residency, related FATCA & CRS guidance*

PAN / PEKRN*									
Name									
Address Type <i>[for KYC address]</i>	<input type="checkbox"/> Residential <input type="checkbox"/> Registered Office <input type="checkbox"/> Business			Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> US <input type="checkbox"/> Others <i>(please specify)</i>				
Place of Birth				Country of Birth					
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 25 Lacs - 1 Cr		<input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> > 1 Crore		Occupation Details <i>[Please tick any one (√)]</i>	<input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Public Sector <input type="checkbox"/> Private Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others <i>[Please specify]</i> _____			
Net Worth in INR. In Lacs & Date <i>[Optional]</i>	_____ <i>dd-mmm-yyyy</i>								
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not Applicable			Any other information <i>[if applicable]</i>	<i>[Please specify]</i>				

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India?   Yes  No

**If 'Yes', please fill for all countries** (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type <i>[TIN or other, please specify]</i>	If TIN is not available, please tick <input checked="" type="checkbox"/> the reason A, B or C <i>[as defined below]</i>
1				➔ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>
2				➔ Reason A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/>

➤ Reason A ➔ The country where the Account Holder is liable to pay tax does not issue TIN to its residents.

➤ Reason B ➔ No TIN required *[Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]*

➤ Reason C ➔ Others – Please specify the reasons \_\_\_\_\_

**Declaration:**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [CAMS/Fund/AMC] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I also confirm that I have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Date:

Place:

Signature:





**Part B [to be filled by Financial Institutions or Direct Reporting NFFEs]**

We are a

Financial Institution / FFI [refer instructions a.]

Direct Reporting NFFE [refer instructions b.]

**GIIN** (Global Intermediary Identification Number):

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

*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 below*

**Name of the sponsoring entity**

**GIIN not available [tick any one]:**

Applied For

Not required to apply for – specify sub -category code  [refer instructions c.]

Not obtained - Non-participating FFI

**Part C [Fill any one as applicable - to be filled by NFEs other than Direct Reporting NFFEs]**

1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions d.]	<input type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, Please specify any one Stock Exchange on which the stock is traded regularly)  Name of the Stock Exchange _____
2	Is the entity a 'Related Entity' of a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions e.]	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please specify the name of the listed company and one stock exchange on which stock is traded regularly)  Name of the listed company: _____  Nature of Relation: <input type="checkbox"/> Subsidiary <input type="checkbox"/> Controlled  Name of the Stock Exchange: _____
3	Is the entity an Active NFE?	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of business _____  Please specify sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/> [refer instructions g.]
4	If the entity a Passive NFE: [refer instructions h.]	<input type="checkbox"/> No <input type="checkbox"/> Yes - Nature of business _____  If Yes, fill UBO declaration in the next section

# if Passive NFE, please provide the below additional details for each of the Controlling person. (Please attach additional sheets if necessary)

S No	Name of UBO	Taxpayer Identification Number / PAN / Equivalent ID Number~	Place & Country of Birth	Country of Tax Residency*	Occupation Type [Service, Business, Others.]	Nationality	Father's Name	Date of Birth dd/mmm/yyyy	Gender [Male, Female, others]

# Additional details to be filled by controlling persons with tax residency / permanent residency / citizenship / Green Card in any country other than India


~ In case TIN is not available, kindly provided functional equivalent


\* If UBO has more than one tax residency outside India, details to be provided in separate rows for each of the tax residency countries


**Declaration:**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize you [CAMS/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Signature with relevant seal:

  
Authorized Signatory

  
Authorized Signatory

  
Authorized Signatory

Date:

Place:

**FATCA & CRS Terms & Conditions**

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions such as the Banks/other financial entities to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. 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 and attach this to the form.

Please note that you may receive more than one request for information if you have multiple relationships with MFs or its group entities / related parties. Therefore, it is important that you respond to such request, even if you believe you have already supplied any previously requested information.



## Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons (Mandatory for Non-individual Investors)

**I: Investor details:**

Name of the Investor:										
PAN*										

\* If PAN is not available, specify Folio No. (s)

**II: Category**

- Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company [If this category is selected, no need to provide UBO details]  
 Unlisted Company  Partnership Firm / LLP  Unincorporated association / body of individuals  Public Charitable Trust  Private Trust  
 Religious Trust  Trust created by a Will  Others [please specify] \_\_\_\_\_

**UBO / Controlling Person(s) details**

S No	Name of UBO#	Country of Tax Residency #	Taxpayer Identification Number / PAN / Equivalent ID Number#	Identification Type#	% of beneficial interest#	CP/UBO Code# (Refer Instructions E)	Place & Country of Birth#	Date of Birth [dd-mm-yyyy] \$	Address, Address Type* & Contact details [include City, Pincode, State, Country	Gender \$ [Male, Female, others]	Father's Names	Nationality\$	Occupation [Service, Business, Others.]



To,  
Indian Clearing Corporation Ltd.  
Mumbai 400001.

Date:

Dear Sir,

Please find appended the details of ----- for the purpose of settlement of Corporate Bond deals through ICCL. Kindly treat the details provided below as authentic details for settlement of all deals reported on your system. In case of a change in the following details, we will intimate the changes accordingly.

**1. Company name :**

- Contact person :
- Contact persons email id :
- Contact persons Mobile number/Tel number:

**2. Bank Details :**

- Bank Name:
- IFSC Code :
- Account number :

**3. DP Details :**

- DP Name
- DP 10
- Client 10

**4. PAN (No.)**

**(Signature and stamp)**





# FORMAT OF RESOLUTION

(On the Company letterhead)

Extract of Meeting of Board of Directors of the \_\_\_\_\_ which held on \_\_\_\_\_, ( Day ) \_\_\_\_\_ ( Date ) \_\_\_\_\_ ( Time ) \_\_\_\_\_, ( Place ) where proper quorum was present

Resolved That Clearing member/ Beneficial Demat account of the company be opened with **M/s. Weathfirst Portfolio Managers . Ltd.** , Depository Participant of Central Depository Service ( India ) Ltd. In the name and style of \_\_\_\_\_.

Resolved further that Trading account of the company be opened with **M/s. Weathfirst Portfolio Managers . Ltd.**, a member of various Recognized stock Exchanges BES/ NSE/ / National Spot Exchange Ltd. for the trading and investment activities of the company in the name and style of \_\_\_\_\_.

Resolved further that any of Mr. \_\_\_\_\_, Director or Mr. \_\_\_\_\_ Director of the company be and is hereby authorized to finalize the terms and conditions for the opening of Trading account and Demat account for the company as well as execute the necessary agreement s, undertaking and documents that may be required for the opening of demat account and trading Registration.

Resolved further that the company do grant Power of Attorney in the favour of **M/s. Wealthfirst Portfolio Managers. Ltd.** to meet with Margin obligation as well as sale obligations in respect of sale transaction entered by the company on the platforms of the Recognized Stock Exchange(s), National Spot Exchange, etc.

Resolved further that Mr. \_\_\_\_\_, Director or Mr. \_\_\_\_\_, Director, be and is hereby authorized to take necessary action to give effect to the said Power of Attorney.

Resolved further that a certified true copy of the said resolution be communicated to **M/s. Wealth First Portfolio Managers. Ltd.** together with Specimen Signature of the Authorized Signatories for the necessary records.

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

CERTIFIED TRUE COPY

Date :   -   - 20

For \_\_\_\_\_ LTD.  
Signatory

## SPECIMEN SIGNATURES

NAME

SIGNATURE

1 Mr. \_\_\_\_\_

\_\_\_\_\_

2 Mr. \_\_\_\_\_

\_\_\_\_\_

CERTIFIED TRUE COPY

For \_\_\_\_\_ LTD.



# OPTION FORM FOR ISSUE OF DIS BOOKLE

Date			-			-	2	0		
------	--	--	---	--	--	---	---	---	--	--

DP ID	1	2	0	7	2	3	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

To,  
**WEALTH FIRST PORTFOLIO MANAGERS.LTD.**  
 "Capitol House", 10 Paras II. Nr Prahlad Nagar Garden,  
 Ahmedabad-380015.

Dear Sir /Madam,  
 I / We hereby state that : [Select one of the options given below]

**OPTION : 1**

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 Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

OR

**OPTION : 2**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Broker/Agent Code ARN:	SUB-BROKER:	EUIN:
------------------------	-------------	-------

**Unit Holder Information**
**Name of the First Applicant :**

PAN Number :	KYC:	Date of Birth :
--------------	------	-----------------

Father Name :	Mother Name :
---------------	---------------

Name of Guardian :	PAN :
--------------------	-------

**Contact Address :**

City :	Pincode :	State :	Country :
--------	-----------	---------	-----------

Tel.(Off) :	Tel.(Res) :	Email :
-------------	-------------	---------

Fax (Off) :	Fax (Res) :	Mobile :
-------------	-------------	----------

Income Tax Slab/Networth :	Occupation Details
----------------------------	--------------------

Place of Birth :	Country of Tax Residence :
------------------	----------------------------

Tax Id No. :

Politically exposed person / Related to Politically exposed person etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---	------------------------------	-----------------------------

Mode of Holding :	Occupation :
-------------------	--------------

**Name of Second Applicant :**

PAN Number :	KYC:	Date of Birth :
--------------	------	-----------------

Income Tax Slab/Networth :	Occupation Details
----------------------------	--------------------

Place of Birth :	Country of Tax Residence :
------------------	----------------------------

Tax Id No. :

Politically exposed person / Related to Politically exposed person etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---	------------------------------	-----------------------------

**Name of Third Applicant :**

PAN Number :	KYC:	Date of Birth :
--------------	------	-----------------

Income Tax Slab/Networth :	Occupation Details
----------------------------	--------------------

Place of Birth :	Country of Tax Residence :
------------------	----------------------------

Tax Id No. :

Politically exposed person / Related to Politically exposed person etc.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
---	------------------------------	-----------------------------

**Other Details of Sole/ 1st Applicant**
**Overseas Address :**

(In case of NRI investor)

City :	Pincode :	Country :
--------	-----------	-----------

**Bank Mandate Details**

Name of Bank :	Branch :
----------------	----------

A/C No. :	A/c Type :	IFSC Code:
-----------	------------	------------

**Bank Address :**

City :	Pincode :	State :	Country :
--------	-----------	---------	-----------

**Nomination Details**

Nominee Name :	Relationship :
----------------	----------------

Guardian Name (If Nominee is Minor) :




**Nominee Address :**

City :	Pincode :	State :
--------	-----------	---------

**Declaration and Signature**

I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.

Date :	Place :
--------	---------

		
---	--	---

1st applicant Signature :

2st applicant Signature :

3rd applicant Signature :



***This page is intentionally left blank***







**WEALTH FIRST**

PORTFOLIO MANAGERS LIMITED

Simple process. Expert wealth

Capitol House, 10, Paras-II, Near Prahladnagar Garden, Ahmedabad - 380 015

+91 79 40240000

support@wealthfirst.biz

www.wealth-firstonline.com

CIN No. - L67120GJ2002PLC040636