



PART - A

RESIDENT INDIVIDUAL

UCC Code:

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I. IDENTITY DETAILS:

1. Name of the Applicant: _____
2. Father's/Spouse Name: _____

II. Please tick, if applicable Politically Exposed Person (PEP) ☐ Related to (PEP) ☐

II. OCCUPATION OF HOLDERS (Please tick)

Private sector ☐ Public sector ☐ Govt. Service ☐ Business ☐ Professional ☐
Agriculture ☐ Retired ☐ House-wife ☐ Student ☐ Other ☐

IV. TRADING PREFERENCE (Exchange & Segments)

BSE-Cash/Govt. Securities/T-Bills/Mutual Funds

Signature of applicant



V. DECLARATION

I/We wish 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 changed therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting. I am/we are aware that I/We may be held liable for it. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. I/We further confirm having read and understood the contents of Part B of the Account Opening form comprising of Rights and Obligations of the Beneficial Owner and Depository Participant, Rights & Obligations of Stock Brokers, Sub-Brokers and Clients, Trading, Risk Disclosure Document, Policy & Procedures, Guidance Note, Additional Terms & Conditions & Schedule of charges. I/We do hereby agree to be bound by such provisions as outlines in these documents. I/We acknowledge the receipt of copy of above Part B document. I/We have also been informed that the standard set of documents has been displayed for information on website www.wealthmills.in. The rules and regulations of the Depository and Depository Participant, pertaining to an account which are in force now, have been read by me/us and I/We have understood the same and I/We agree to abide by, and to be bounded by the rules are in force from time to time for such account. All communication related to WealthMills trading account can be sent to my registered email id.

Signature of applicant



Corp. Off.: Unit no. 10, Plot no. 6,7,8,9, Arenja Complex, Sector – 08, CBD Belapur,
Navi Mumbai – 400614, Maharashtra, India.



Phone no. +91 7093014399, +91 9059844337.



Landline no. +91 22 27576466, +91 22 35046518



Email id: corporate@wealthmills.in



WealthMills Securities Pvt. Ltd.

KNOW YOUR CLIENT (KYC) Application Form – For Individual

☐

NEW

☐

CHANGE REQUEST (Please tick the appropriate)

Acknowledgement no.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/Spouse Name: _____
3. a. Gender: Male/Female b. Marital status: Single/Married c. Date of birth: DD/MM/YYYY
4. Nationality: ☐ Indian ☐ Other (Please specify) _____
5. Status: ☐ Resident Individual ☐ Non-Resident ☐ Foreign National
6. a. PAN: _____ b. Aadhaar Number, if any: _____
7. Specify the Proof of Identity submitted: ☐ PAN card ☐ Other (Please specify) _____

PHOTOGRAPH

PLEASE AFFIX YOUR
RECENT COLOUR
PASSPORT SIZE
PHOTOGRAPH AND
SIGN ACROSS IT

B. ADDRESS DETAILS

1. Residence/Correspondence Address: _____
City/Town/Village: _____ Pin code: _____
State: _____ Country: _____
2. Specify the proof of address submitted for residence/correspondence/permanent address: _____
3. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile no.: _____
Fax: _____ Email id: _____
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant):

City/Town/Village: _____ Pin code: _____
State: _____ Country: _____

C. DECLARATION

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

Signature of applicant

Place: _____

Date: DD/MM/YYYY

D. FOR OFFICE USE ONLY

E. In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organisation: _____

Date of IPV: DD/MM/YYYY

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

☐ Originals Verified and Self Attested Document copies received

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Email id: corporate@wealthmills.in

SEBI Registration No. INZ00054130, CIN: U74120MH2015PTC271289



F. OTHER DETAILS

1. Bank account details:

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current	MICR Number	IFSC Code

2. Demat account details: (In case the client does not have DP account, this column may be crossed)

Dp name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary Yes ☐ No ☐
4. Mode of receiving Contract Note/Statement of Account: Physical ☐ Electronic ☐
5. Income Range per Annum: <1Lac ☐ 1 to 5Lacs ☐ 5 to 10Lacs ☐ 10 to 25Lacs ☐ > 25Lacs ☐
6. Whether you wish to avail of the facility of internet trading/wireless technology Yes ☐ No ☐

G. TARIFF SHEET

Brokerage	in% (subject to max. of 2.5%)	Minimum paisa (subject to max. 25paise)	One Side/Both Side
Delivery Based			
Delivery Square up			

Other Terms and conditions:

- GST Tax : GST will be charged at 18% on total value of brokerage.
- SEBI Turnover Charges : SEBI Turnover charges are levied at 0.0001% of turnover.
- Brokerage Computation basis : Brokerage is computed on per share basis and is rounded off to the nearest paisa, subject to a minimum brokerage of 1 paisa per share.
- System abuse charges, if any, as levied by Exchange(s) will be recovered from the respective clients.
- The rates provided in this schedule are subject to change with 15 (Fifteen) days prior intimation.
- Any charges payable to Chartered Accountant (CA) for calculation of Tax/TDS and other incidental charges will be debited to the Clients Bank Account. Any courier charges for delivery sent to overseas address will be charged extra as per actual.
- Any penalty levied by Exchanges on the client's positions shall be recovered from the client's account (eg. Penalty for short collection of margins).

The Trading Account Opening charges are Rs. 1000/- (This includes recovery of charges incurred on franking/stamping of documents). Account opening charges cheque in favour of WealthMills Securities Pvt. Ltd.

Signature of applicant



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Wealth Mills Securities Pvt. Ltd.

☐ I/We wish to make a nomination (As per details given below)

☐ I/We do not wish to nomination

H. NOMINATION DETAILS

1. Name of the nominee: _____
2. Share of each nominee: _____ 3. Relationship with the applicant (If any): _____
4. Address of nominee: _____

Pin code: _____

City _____ State: _____ Country: _____

5. Contact Details of nominee: Mobile no.: _____ Email id: _____

6. Nominee Identification details: (Please tick any one of following and provide details of same) - _____

☐ PAN ☐ Aadhaar ☐ Savings Bank Account no. ☐ Proof of Identity ☐ Demat Account ID

Sr. Nos. 7-12 should be filled only if nominee is a minor:

7. Date of Birth {in case of minor nominee}: _____
8. Name of Guardian {in case of minor nominee}: _____
9. Address of Guardian: _____

Pin code: _____

City _____ State: _____ Country: _____

10. Contact Details of nominee: Mobile no.: _____ Email id: _____

11. Relationship with the applicant (If any): _____

12. Nominee Identification details: (Please tick any one of following and provide details of same) - _____

☐ PAN ☐ Aadhaar ☐ Savings Bank Account no. ☐ Proof of Identity ☐ Demat Account ID

Signature of applicant



Signature of Witness for Nomination

Name of the Witness	Address	Signature of Witness

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Supplementary KYC Information & FATCA-CRS Declaration – Individuals

PAN

Name

Gender ☐ Male ☐ Female

Type of address given at KYC KRA ☐ Residential ☐ Business

Place of Birth

Country of Birth

Nationality

Are you a tax resident of any country other than India? ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID numbers below.

Country	Tax Identification Number	Identification Type	Documents provided (copy of certificate of tax residence or copy of TIN or others)	Date upto which the documentary evidence is valid

- To also include USA, where the individual is a citizen/green holder of the USA
 - %In case Tax Identification Number is not available, kindly provide its functional equivalent \$
- Reason A** – The country where the Account Holder is liable to pay tax does not issue Tax Identification Number to its residents.
- Reason B** – No TIN required. (Select this reason only if the authorities of the respective country of tax residence do not require the TIN to be collected)
- Reason C** – Others; Please state the reason thereof.

Certification

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

Signature of applicant

Place: _____

Date: DD/MM/YYYY

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Customer Declaration (Applicable for all customers):

1. Under penalty of perjury, I/We certify that:
 - a. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any other state or political subdivisions thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S federal income tax regardless of the source thereof. (This clause is applicable only if the account holder is identified as US person)
 - b. The applicant is an applicant taxable as a tax resident under the laws of the country outside India. (This clause is applicable only if the account holder is a tax resident outside of India)
2. I/We understand that the WealthMills Securities Pvt. Ltd. is relying on this information for the purpose of determining the status of the applicant named below in compliance with FATCA/CRS. WealthMills Securities Pvt. Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions.
3. I/We agree to submit a new form within 30days if any information or certification on this form becomes incorrect.
4. I/We agree that as may be required by domestic regulators/tax authorities, WealthMills Securities Pvt. Ltd. may also be required to report, reportable details to CDBT or close or suspend my account.
5. I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature of applicant



6. Aadhaar verification & Authentication:

I hereby provide my consent to WealthMills Securities Pvt. Ltd. for collecting, storing, using, validating, authenticating and updating my Aadhaar number against my PAN in all investment transactions through WealthMills Securities Pvt. Ltd. as an intermediary regulated by SEBI, IRDAI & PFRDA. This is to comply with Aadhaar Act, 2016 and with PMLA requirements.

WealthMills Securities Pvt. Ltd. has informed me and I hereby give my consent to update my Aadhaar number in the account opened with WealthMills Securities Pvt. Ltd. and share the same with Exchange, KRA, CERSAI and with any other Regulatory Agencies (as per requirement or on demand) and also with Asset Management Companies of mutual funds registered with SEBI and their Registrar and Transfer Agents (RTA) for the purpose of updating the same in my/our existing folios or when I transact in a mutual fund product or as per requirements of law.

Signature of applicant



Date: DD/MM/YYYY

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WealthMills Securities Pvt. Ltd.

BSE stAR MF

(Letter to be provided by the Investor to the MFI)

To _____

Date: DD/MM/YYYY

Sir,

Sub: BSE StAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of BSE Ltd. (Exchange). Further, I/We have also availed of mutual fund platform of BSE through you.

I/We am/are interested in availing the liquid overnight functionality available on the mutual fund platform of BSE for investing my/our monies in the units of Liquid Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF platform and hereby authorize you to use the said functionality for investing my/our monies accordingly.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for availing the aforesaid functionality of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated April 16, 2015 and as may be specified by the Exchange from time to time in this regard.


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

Thanking you,

Yours faithfully,

Signature of applicant



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AUTHORISATION FOR MAINTENANCE OF RUNNING ACCOUNT (THIS DOCUMENTARY IS VOLUNTARY)

To

Date: DD/MM/YYYY

WealthMills Securities (P) Ltd.
Unit no.10, Plot no. 6,7,8,9,
Arenja Complex Sector – 8,
CBD Belpaur, Navi Mumbai – 400614.

Dear Sir/Madam,

Subject: Instructions in respect of my client account bearing number [] with you in relation to the purchase and sale of securities on the Cash Market/Mutual Fund Units on the Bombay Stock Exchange Limited

1. I/We confirm that I/We am/are desirous of regularly dealing in Bombay Stock Exchange Limited (as applicable and request you to maintain in a running account for funds & securities on my/our behalf without setting the account on settlement of each transaction on my/our behalf.
2. I/We hereby give you the following operational instructions in respect of my/our captioned account maintained with you,
 - i. To maintain my captioned account, with you on a running account basis, i.e., instead of paying to me/us any amounts or securities representing payouts, settlement dues, market profits on the settlement date, to retain, withhold, set-off and/or appropriate for such proposed and in such manner as you may deem fit, including towards settling outstanding obligations on a settlement date. This will facilitate me in my/our transactions with you.
 - ii. You may at your discretion and with or without notice to me/us, set-off any (a) securities or money due to me/us arising from trades executed on a segment of an exchange with the shortfall or additional requirements or margin or securities or money arising from other trades executed on another exchange with the shortfall or additional requirements of margin or securities or money arising from other trades executed whether on the same or any other segment of the same exchange.
3. At the time of settlement of accounts/securities once in a month/quarter, I/We authorize you to retain such amount of funds/securities as you may deem requisite to meet F&O margins obligations for a period of up to 5 (Five) trading days following such settlement and in cash market segment(s), for next day's business, you may retain funds/securities/margins to the extent of value of transactions executed on the day of such settlement in the Cash market (s) only.
4. Upon settlement of my account, you will furnish to me/us by email a statement of accounts containing extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds and securities.
5. I/We understand and agree that you will transfer/release the funds/securities lying to my our credit within 1 (one) working day of a request by me/us if the same are lying with you and within 3 (three) working days from the request if the same are lying with the Clearing Member/Clearing Corporation, subject to me/us providing you with a written request for such transfer and subject to on outstanding dues on my/our part in relation to any of my/our obligations under the broking relationship.
6. With respect to requirement of the Exchanges to maintain accounts for each exchange/segment separately I/We authorise you to allocate the payments received/made to any of the exchanges/segments. I/We further authorise you to pass such entries to adjust my/our debit/credit balance in my/our trading account of any exchange/segment to any other and vice versa.
7. I/We understand and agree that no interest will be payable to me/us on the deposits or amounts or securities lying to my/our credit with you
8. This authorization may be revoked by me/us at any time by giving you written intimation.
9. I/We request you to settle my/our account on a Monthly Quarterly basis (please tick).
(If the applicant does not select the check box, default option is Quarterly)

Signature of applicant



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