

Individual - Only DP

# SPARK PWM PRIVATE LIMITED

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

Account Opening Date : \_\_\_\_\_

Demat Account No : \_\_\_\_\_

UCC Code : \_\_\_\_\_

## Client Consent for Fetching Data from CKYC

Dear Client,

As part of our regulatory compliance, we must retrieve your KYC (Know Your Customer) information maintained with the Central KYC Registry (CKYC).

By signing/providing consent below, you authorize **Spark PWM Private Limited** to retrieve your KYC records from CKYC using your KYC Identifier.

This consent is being obtained in accordance with applicable regulations and guidelines issued by the Securities and Exchange Board of India (SEBI) and CKYC agencies.

### **Declaration:**

I hereby give my consent to **Spark PWM Private Limited** to access and fetch my KYC information from the Central KYC Registry. I understand that the information so fetched will be used solely for the purposes mentioned above and will be maintained confidentially in accordance with applicable laws.

	First/Sole Holder/ Authorised Signatory	Second Holder/ Authorised Signatory	Third Holder/ Authorised Signatory
Name			
Pan			
Signatures			

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

<b>Form No.</b>	
-----------------	--

<b>Client Name</b>	
--------------------	--

<b>TRADING CODE</b>	<b>DEMAT ID</b>

### Section to be updated by Operations Team

<b>Location</b>	
-----------------	--

For DIRECT CLIENT Accounts	PRIMARY EQUITY RM	SECONDARY WEALTH RM	DEALER 1	DEALER 2
Employee Code				
Employee Name				
Category				

<b>Sub-Broker (AP)</b>	
<b>Code</b>	
<b>Name</b>	

### To be filled by Operations Team

	Employee Name	Date of Entry
<b>Maker</b>		
<b>Checker</b>		

Services Offered		Depository Services
<b>Services Offered by (Company Name)</b>		Spark PWM Private Limited
<b>SEBI Registration No.</b>		IN-DP-757-2023
<b>Membership</b>		CDSL
<b>Corporate Identity Number:</b>		U67190TN1998PTC039818
<b>Registered Address</b>		No. 1,3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai 600 020.
<b>Corporate Office</b>		Unit No. 1252, 5th Floor, Solitaire 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093
<b>Contact No.</b>		+91 44 6925 0000
<b>Customer Care</b>		+91 22 6291 6700
<b>Website</b>		<a href="http://www.sparkcapital.in">www.sparkcapital.in</a>
<b>Compliance Officer</b>		Bansi Sanghvi
<b>Compliance Officer Contact No.</b>		+91 22 6291 6740
<b>Compliance Officer Email Id</b>		<a href="mailto:dp.compliance@sparkcapital.in">dp.compliance@sparkcapital.in</a>
<b>Investor Grievance</b>		<a href="mailto:dpgrievances@sparkcapital.in">dpgrievances@sparkcapital.in</a>
<b>Any Grievance please contact us</b>		+91 22 6291 6720

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

	Depository Services	ODR
<b>Email Id</b>	<a href="mailto:complaints@cdsindia.com">complaints@cdsindia.com</a>	Email: <a href="mailto:help@smartodr.in">help@smartodr.in</a>
<b>Contact No.</b>	+91 22 2305 3333	+91 8105148710

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with CDSL at <https://www.cdsindia.com/Footer/grievances.aspx> or NSE at <https://investorhelpline.nseindia.com/NICEPLUS/> or BSE at <https://bsecrs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>. and SEBI at <https://scores.sebi.gov.in> ODR <https://smartodr.in/> Please quote your Service Ticket/Complaint Ref No.while raising your complaint at SEBI SCORES/Exchange portal.

### ICONS FOR ILLUSTRATION



First holder Signature



Second holder Signature



Third holder Signature



Witness 1



Witness 2

**IMPORTANT INSTRUCTIONS for filling the KYC Form:**

1. The account opening form should be filled in BLACK / BLUE INK and CAPITAL LETTERS ONLY.
2. All proofs, photographs and signature on the form should be clearly visible and should be self-attested by client.
3. The details mentioned in the proof submitted matches with the form filled up by you as per the Checklist table.
4. Signatures and date of birth should match with the proof submitted.
5. White ink is not allowed on form. All corrections need to be countersigned with full signature.
6. In case of DP in joint names, all the proofs-PAN card, address proof and photo should be provided for 2nd & 3rd Holder also.
7. Pan Card & Address Proof of Nominee and Guardian also to be provided.

Validation Required	ID Details			Address Details		Bank Details	
Proof type	Name	Sign	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR/IFSC Code
PAN Card	✓	✓	✓				
UID (Aadhaar)	✓		✓	✓	✓		
Voter ID	✓		✓	✓	✓		
Driving Licence*	✓	✓	✓	✓	✓		
Passport*	✓	✓	✓	✓	✓		
Bank Statement #						✓	✓
Bank Passbook ##						✓	✓
Cancelled Cheque (With Client Name & A/c No. Printed)						✓	✓
Bank Verification Letter (Original Stationary)						✓	✓

**Abbreviations:**

- 1) \* The proof should be valid on the date of agreement.
- 2) \*\* The proof should not be more than 3 months old.
- 3) # Bank Statement should be attested and of latest quarter.
- 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is handwritten.

**PROOF OF FINANCIAL DETAILS, anyone (for Derivatives only)**

- Net-worth Certificate (CA certified) Return
- Demat Holding Statement
- Copy of Annual Accounts
- Copy of Form 16 (Salary Certificate)
- Copy of Income Tax
- Bank statement of last 6 Months

**ADDITIONAL PROOFS FOR NRI (NON-RESIDENT INDIAN)**

1. Bank A/c should be either Repatriable Bank A/c for NRE or Non-Repatriable A/c for NRO Status.
2. Valid Passport/ PIO/ OCI card as proof of Identity. Proof of Foreign Address and Indian Address (if any)
3. Proof of Demat Account should be only with NRI Status. (From Depositories)
4. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

**PROOF OF EXISTING DEMAT ACCOUNT HOLDERS**

Client Master Report                    DP Statement

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
- 2) DP Statement should clearly show DP ID & Client ID

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<b>FOR TRADING AND CDSL DEMAT ACCOUNT</b>			
<b>Sr. No.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Page No</b>
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1	Account Opening Form - Demat Demat Account related details & other details Nomination Form	CKYC Form - Document captures the basic information about the Client & FATCA Document captures the additional information about the Client relevant to Demat account and other details as per Prevention of Money Laundering Act, 2002 (PMLA) Nomination Form (Annexure A and B)	1-13 14-16 17-21
2	Tariff Sheet- Demat  SMS Alerts from CDSL	Document detailing the Demat tariff/charges  Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL  Declaration for opening Demat Account along with acceptance of KYC Document Booklet & Request for SMS and E-mail alerts	22-25 26-27 28
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4	Anti-Money Laundering (AML)	Understanding for clients about Anti Money Laundering (AML) provisions	7
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8	Terms and Conditions for SMS alerts from CDSL	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]	16-17
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**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 dates in DD-MM-YYYY format.  
 E) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

F) Please read section wise detailed / 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) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

**For office use only (To be filled by financial institution)**Application Type\*  New  UpdateKYC Number  (Mandatory for KYC update request)Account Type\*  Normal  Minor  Aadhaar OTP based E-KYC (in non-face to face mode)

UCC Code allotted to the Client:

DP Internal Reference No. \_\_\_\_\_

DP Name	NSDL/CDSL	Beneficiary Name	DP ID	BO ID

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

Prefix

First Name

Middle Name

Last Name

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

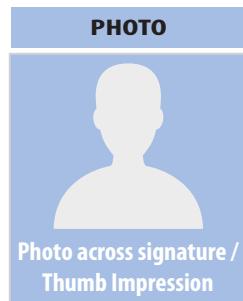
Maiden Name \_\_\_\_\_

Father / Spouse Name\* \_\_\_\_\_

Mother Name\* \_\_\_\_\_

Date of Birth\*  PAN No.\*   Form 60 furnishedGender\*  M - Male  F - Female  T-TransgenderMarital Status\*  Single  Married Current Nationality\*  Indian  Other \_\_\_\_\_Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian OriginOccupation Type\*  S-Service ( Private Sector  Public Sector  Government Sector)  O-Others Please Specify  Professional  
 Self Employed  Retired  Housewife  Students )  B-Business  X- Not Categorised**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 OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

 A - Passport Number  \_\_\_\_\_ B - Voter ID Card  \_\_\_\_\_ C - Driving Licence  \_\_\_\_\_ D - NREGA Job Card  \_\_\_\_\_ E - National Population Register Letter  \_\_\_\_\_ F - Proof of Possession of Aadhar  XXXXXXXX<sup>10</sup> \_\_\_\_\_II  E - KYC Authentication  XXXXXXXX<sup>10</sup> \_\_\_\_\_III  Offline verification of Aadhar  XXXXXXXX<sup>10</sup> \_\_\_\_\_ G- Others \_\_\_\_\_**Address**Line 1\*  \_\_\_\_\_Line 2  \_\_\_\_\_Line 3  \_\_\_\_\_ City / Town / Village\*  \_\_\_\_\_District\*  \_\_\_\_\_ Pin / Post Code\*  \_\_\_\_\_ State\*  \_\_\_\_\_Country\*  \_\_\_\_\_Photo across signature /  
Thumb Impression

F2

### 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 equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

<input type="checkbox"/> A - Passport Number	<input type="text" value="XXXXXXXXXX"/>
<input type="checkbox"/> B - Voter ID Card	<input type="text" value="XXXXXXXXXXXX"/>
<input type="checkbox"/> C - Driving Licence	<input type="text" value="XXXXXXXXXXXX"/>
<input type="checkbox"/> D - NREGA Job Card	<input type="text" value="XXXXXXXXXXXXXXXXXXXX"/>
<input type="checkbox"/> E - National Population Register Letter	<input type="text" value="XXXXXXXXXXXXXX"/>
<input type="checkbox"/> F - Proof of Possession of Aadhaar	<input type="text" value="XXXXXXXXXXXXXX"/>
II <input type="checkbox"/> E - KYC Authentication	<input type="text" value="XXXXXXXXXXXXXX"/>
III <input type="checkbox"/> Offline verification of Aadhar	<input type="text" value="XXXXXXXXXXXXXX"/>
IV <input type="checkbox"/> Deemed Proof of Address - Document Type code	<input type="text" value="XX"/>
V <input type="checkbox"/> Self Declaration	

G- Others \_\_\_\_\_

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State\*

Country\*

### 4. CONTACT DETAILS

(All communications will be sent on provided Mobile number / Email-ID provided) (Please refer instruction C at the end)

Tel. (Off)

Tel. (Res.)

Mobile\*

Email ID\*

### 5. REMARKS (if any)

### 6. APPLICANT DECLARATION

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

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

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

Date :

F3

Place :

Signature/ Thumb impression of the Client

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

Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC code received from UIDAI	<input type="checkbox"/> Data received from Offline verification
	<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	<input type="checkbox"/> Vidio Based KYC

**KYC VERIFICATION CARRIED OUT BY**

**INSTITUTIONS DETAILS**

Date

Emp Name

Emp Code

Emp Designation

Emp Branch

Name **Spark PWM Private Limited**

Code **I N 5 0 7 6**

(Institution Stamp)

Employee Signature

**CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form**

**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 Proof of Address such as utility bill, the document need not be uploaded on CKYCR.
- 2 Proof of Address to be submitted only if the submitted Proof of Identity does not have current address or address as per Proof of Identity 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 or any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) or the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.

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

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

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

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

**E Clarification on Minor**

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

**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 dates in DD-MM-YYYY format.  
 E) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

F) Please read section wise detailed / instructions at the end.  
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 I) KYC number of applicant is mandatory for update application.  
 J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.

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DP Name	NSDL/CDSL	Beneficiary Name	DP ID	BO ID

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

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Middle Name

Last Name

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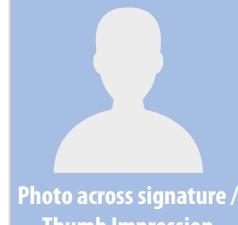
Maiden Name \_\_\_\_\_

Father / Spouse Name\* \_\_\_\_\_

Mother Name\* \_\_\_\_\_

Date of Birth\* PAN No.\*  Form 60 furnishedGender\*  M - Male  F - Female  T-TransgenderMarital Status\*  Single  MarriedCurrent Nationality\*  Indian  Other \_\_\_\_\_Residential Status\*  Resident Individual  Non Resident Indian Foreign National Person of Indian OriginOccupation Type\*  S-Service ( Private Sector  Public Sector  Government Sector)  O-Others \_\_\_\_\_ Please Specify Professional Self Employed  Retired  Housewife  Students )  B-Business  X- Not Categorised

S2 →

**PHOTO**Photo across signature /  
Thumb Impression **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 OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

 A - Passport Number  B - Voter ID Card  C - Driving Licence  D - NREGA Job Card  E - National Population Register Letter  F - Proof of Possession of Aadhar II  E - KYC Authentication III  Offline verification of Aadhar  G- Others \_\_\_\_\_**Address**Line 1\* Line 2 Line 3  City / Town / Village\* District\*  Pin / Post Code\*  State\* Country\*

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<input type="checkbox"/> E - National Population Register Letter	<input type="text" value="_____"/>
<input type="checkbox"/> F - Proof of Possession of Aadhaar	<input type="text" value="XXXXXX XXXX"/>
II <input type="checkbox"/> E - KYC Authentication	<input type="text" value="XXXXXX XXXX"/>
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IV <input type="checkbox"/> Deemed Proof of Address - Document Type code	<input type="text" value="_____"/>
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Date :  -  -

Place :

 S3

Signature/Thumb impression of the Client

<b>7. ATTESTATION / FOR OFFICE USE ONLY</b>					
Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC code received from UIDAI	<input type="checkbox"/> Data received from Offline verification		
	<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	<input type="checkbox"/> Vedio Based KYC		
<b>KYC VARIFICATION CARRIED OUT BY</b>			<b>INSTITUTIONS DETAILS</b>		
Date	<input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/>	Name <b>Spark PWM Private Limited</b>			
Emp Name	<input type="text"/>				
Emp Code	<input type="text"/>				
Emp Designation	<input type="text"/>				
Emp Branch	<input type="text"/>				
<b>Employee Signature</b>			(Institution Stamp)		

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

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DP Internal Reference No. \_\_\_\_\_

DP Name	NSDL/CDSL	Beneficiary Name	DP ID	BO ID

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

Prefix

First Name

Middle Name

Last Name

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

Maiden Name \_\_\_\_\_

Father / Spouse Name\* \_\_\_\_\_

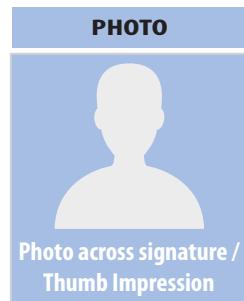
Mother Name\* \_\_\_\_\_

Date of Birth\* 

D D - M M - Y Y Y Y

PAN No.\*  Form 60 furnishedGender\*  M - Male  F - Female  T-TransgenderMarital Status\*  Single  MarriedCurrent Nationality\*  Indian  Other \_\_\_\_\_Residential Status\*  Resident Individual  Non Resident Indian Foreign National Person of Indian OriginOccupation Type\*  S-Service ( Private Sector  Public Sector  Government Sector)  O-Others \_\_\_\_\_Please Specify  Professional Self Employed  Retired  Housewife  Students )  B-Business  X- Not Categorised**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 OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

 A - Passport Number  B - Voter ID Card  C - Driving Licence  D - NREGA Job Card  E - National Population Register Letter  F - Proof of Possession of Aadhar II  E - KYC Authentication III  Offline verification of Aadhar  G- Others \_\_\_\_\_**Address**Line 1\* Line 2 Line 3  City / Town / Village\* District\*  Pin / Post Code\*  State\* Country\* 

T2

Photo across signature /  
Thumb Impression

### 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 equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any one of the following OVDs)

<input type="checkbox"/> A - Passport Number	<input type="text" value="XXXXXXXXXX"/>
<input type="checkbox"/> B - Voter ID Card	<input type="text" value="XXXXXXXXXXXX"/>
<input type="checkbox"/> C - Driving Licence	<input type="text" value="XXXXXXXXXXXX"/>
<input type="checkbox"/> D - NREGA Job Card	<input type="text" value="XXXXXXXXXXXXXXXXXXXX"/>
<input type="checkbox"/> E - National Population Register Letter	<input type="text" value="XXXXXXXXXXXXXX"/>
<input type="checkbox"/> F - Proof of Possession of Aadhaar	<input type="text" value="XXXXXXXXXXXXXX"/>
II <input type="checkbox"/> E - KYC Authentication	<input type="text" value="XXXXXXXXXXXXXX"/>
III <input type="checkbox"/> Offline verification of Aadhar	<input type="text" value="XXXXXXXXXXXXXX"/>
IV <input type="checkbox"/> Deemed Proof of Address - Document Type code	<input type="text" value="XX"/>
V <input type="checkbox"/> Self Declaration	

G- Others \_\_\_\_\_

#### Address

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State\*

Country\*

### 4. CONTACT DETAILS

(All communications will be sent on provided Mobile number / Email-ID provided) (Please refer instruction C at the end)

Tel. (Off)

Tel. (Res.)

Mobile\*

Email ID\*

### 5. REMARKS (if any)

### 6. APPLICANT DECLARATION

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

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

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

Date :  -  -

Place :

T3

8

Signature/ Thumb impression of the Client

<b>7. ATTESTATION / FOR OFFICE USE ONLY</b>					
Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC code received from UIDAI	<input type="checkbox"/> Data received from Offline verification		
	<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	<input type="checkbox"/> Vedio Based KYC		
<b>KYC VARIFICATION CARRIED OUT BY</b>			<b>INSTITUTIONS DETAILS</b>		
Date	<input type="text"/> / <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/>	Name <b>Spark PWM Private Limited</b>			
Emp Name	<input type="text"/>				
Emp Code	<input type="text"/>				
Emp Designation	<input type="text"/>				
Emp Branch	<input type="text"/>				
<b>Employee Signature</b>			(Institution Stamp)		

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

## 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 Proof of Address such as utility bill, the document need not be uploaded on CKYCR.

2 Proof of Address to be submitted only if the submitted Proof of Identity does not have current address or address as per Proof of Identity 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 or any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) or the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 “Equivalent e-document” means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 ‘Digital KYC process’ has to be carried out as stipulated in the PML Rules, 2005.

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

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

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

1 Provided KYC number of related person, if available

## **F 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 (CKYCB number of guardian) is to be uploaded

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

State/U.T	Code
Amdaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra & Nagar Haveli and Daman & Diu	DD
Ladakh	LA
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State/U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State/U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

**List of ISO 3166 two digit Country Code**

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angala	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montebeqre	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Nambia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Naura	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Island	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, The Democratic Republic of	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire/Ivory Coast	CI	Korea, Democratic People's Republic of	KP	Reunion /Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao/Icuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy /Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

## FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor)

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

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

Name of the account holder \_\_\_\_\_ PAN No \_\_\_\_\_

Fathers Name \_\_\_\_\_ Spouse's name \_\_\_\_\_

Aadhaar number (Optional) \_\_\_\_\_ Nationality \_\_\_\_\_

City of birth \_\_\_\_\_ Country of birth \_\_\_\_\_

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

Address Type \_\_\_\_\_

(a) Residential or Business (b) Residential (c) Business (d) Registered Office

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

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

I am a tax resident of India and not resident of any other country  
Or  
 I am a tax resident of the country /ies mentioned in the table below

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

Country <sup>#</sup>	Tax Identification Number <sup>%</sup>	Identification Type (TIN or Other%, please specify)

<sup>#</sup> To also include USA, where the individual is a citizen/ green card holder of USA

<sup>%</sup> In case Tax Identification Number is not available, kindly provide functional equivalent

#### Certification

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

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

Signature of Sole/  
First Holder

**F4**

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

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

**FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor)****Details under FATCA and CRS (Please refer to instructions in small booklet)****(Please consult your professional tax advisor for guidance on your tax residency, if required)**

Name of the account holder \_\_\_\_\_ PAN No \_\_\_\_\_

Fathers Name \_\_\_\_\_ Spouse's name \_\_\_\_\_

Aadhaar number (Optional) \_\_\_\_\_ Nationality \_\_\_\_\_

City of birth \_\_\_\_\_ Country of birth \_\_\_\_\_

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

Address Type \_\_\_\_\_

(a) Residential or Business (b) Residential (c) Business (d) Registered Office

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

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

I am a tax resident of India and not resident of any other country  
Or  
 I am a tax resident of the country /ies mentioned in the table below

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

Country <sup>#</sup>	Tax Identification Number <sup>%</sup>	Identification Type (TIN or Other%, please specify)

<sup>#</sup> To also include USA, where the individual is a citizen/ green card holder of USA<sup>%</sup> In case Tax Identification Number is not available, kindly provide functional equivalent**Certification**

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

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

Signature of Sole/  
Second Holder

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

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

## FATCA-CRS Annexure for Individual Accounts (including Sole Proprietor)

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

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

Name of the account holder \_\_\_\_\_ PAN No \_\_\_\_\_

Fathers Name \_\_\_\_\_ Spouse's name \_\_\_\_\_

Aadhaar number (Optional) \_\_\_\_\_ Nationality \_\_\_\_\_

City of birth \_\_\_\_\_ Country of birth \_\_\_\_\_

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

Address Type \_\_\_\_\_

(a) Residential or Business (b) Residential (c) Business (d) Registered Office

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

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

I am a tax resident of India and not resident of any other country  
Or  
 I am a tax resident of the country /ies mentioned in the table below

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

Country <sup>#</sup>	Tax Identification Number <sup>%</sup>	Identification Type (TIN or Other%, please specify)

<sup>#</sup> To also include USA, where the individual is a citizen/ green card holder of USA

<sup>%</sup> In case Tax Identification Number is not available, kindly provide functional equivalent

#### Certification

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

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

Signature of Sole/  
Third Holder

T4

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

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

## ADDITIONAL KYC DETAILS

### For New Demat Account with Spark PWM Private Limited (Spark PWM)

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

<b>Sole/First Holder's Name</b>		<b>PAN</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>AADHAR NO</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>UCC</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>Exchange Name &amp; ID</b> _____
<b>Second Holder's Name</b>		<b>PAN</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>AADHAR NO</b> <input type="text"/>
<b>Third Holder's Name</b>		<b>PAN</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>AADHAR NO</b> <input type="text"/>
<b>Name*</b>		<b>PAN</b> <input type="text"/>
<b>( In case of Firms, Association of Persons (AOP), Partnership Firms, 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 Firms, Unregistered Trust etc., should be mentioned above.)</b>		

Education Qualification :  Under Graduate  Graduate  Post Graduate  Professional

### Type of Account - Sub Status - Individual

<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual-Director	<input type="checkbox"/> Individual Director's Relative	<input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
<input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others (specify) _____					

### Type of Account - Sub Status (NRI)

<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non – Repatriable	<input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> Others (specify) _____
--	---	--	--	---

### Type of Account - Sub Status (Foreign National)

<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National-Depository Receipts	<input type="checkbox"/> Others (Specify) _____
---	---	---

### Other Details

Gross annual income range p.a.* OR Net-worth in Rs (Net worth should not be older than 1 year)	<input type="checkbox"/> 1. Below Rs. 1 Lakh <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs <input type="checkbox"/> 5. More than Rs.25 lakhs  as on <input type="text"/> DD <input type="text"/> MM <input type="text"/> YY <input type="text"/> YY <input type="text"/> YY
Occupation  Please tick if applicable	<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others (Please specify)  <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> None
Any other information  _____	

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

Electronic  Physical

### Details of Guardian (In case the account holder is a minor)

Guardian's Name	
Relationship with Client	
PAN	

**Bank Account(s) Details****Default**

Account Type

 Savings     Current     NRE / NROBank Name (through which  
transactions will be routed)

Bank Account No.

Branch Address

Pin     

IFSC Code: \_\_\_\_\_ MICR No.: \_\_\_\_\_ NEFT Code: \_\_\_\_\_

**Standing Instructions**

Spark PWM

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)

 Yes  NoAccount Statement Requirement  As per SEBI RegulationI/We request you to send Electronic Transaction-cum-Holding Statement at the email ID \_\_\_\_\_  Yes  NoI/ We would like to share the email ID with the RTA  Yes  NoI/ We would like to receive the Annual Report (Tick the applicable box.  
If not marked the default option would be in 'Physical') Physical  Electronic  
 Both Physical & ElectronicI/ We would like to instruct the DP to accept all the pledge instructions in my /our account without  
any other further instruction from my/our end ( If not marked, the default option would be'No') Yes  NoI/We wish to receive dividend / interest directly in to my bank account as given in AOF through ECS. (If not marked,  
the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time.]  Yes  NoWhether DP a/c is to be opened with the same intermediary  Yes  No**DP Account(s) Details**

In case, client does not have a DP Account, below mentioned details may not be filled in

Depository Name:  NSDL  CDSL DP ID        Depository Participant Name \_\_\_\_\_Beneficiary Name \_\_\_\_\_ Beneficiary ID (BO ID)       **SMS Alert & Trust Facility**

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

CAS Mode :  No  PH  Electronic or PH

**Please tick mark the additional applicable category to you:**

- Non resident client
- High net-worth client (having annual income + networth of more than INR 5 crore)
- Civil Servant or family member or close relative of civil servant
- Bureaucrat or family member or close relative of bureaucrat
- Current or Former MP or MLA or MLC or their family member or close relative
- Politician or their family member or close relative
- Current or Former Head of State or of Governments or their family member or close relative
- Senior government/judicial/military officers or their family member or close relative
- Senior executives of state-owned corporations or their family member or close relative
- Companies offering foreign exchange offerings
- None of the above

### **Client Declaration**

1. I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I/we may be held liable for it.
2. I confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non mandatory document.
3. I further confirm having read and understood the contents of the Rights and Obligations document(s), Risk Disclosure Document and Do's and Dont's. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.
4. I am hereby submitting self-certified Aadhar copy with my due consent for opening the above said account with Spark PWM.
5. I/We give consent to download my / our entity KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of identity and address from the database of CKYCR Registry.

I/We understand that KYC Record includes my KYC Records / Personal / entity information such as name, address, date of birth, date of incorporation PAN number etc

### **Mode of Operations for Joint Accounts**

- Single
- Jointly
- Anyone of the Holder

If Mode of Operation for Joint Account is chosen as anyone of the Holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze / unfreeze of account and / or securities and / or specific number of securities will be permitted.

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

*Mandatory to select any one option*

<input type="checkbox"/> I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.	<input type="checkbox"/> I/We do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at a later date
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### **Client Consent Date for BSDA**

- Yes
- No
- Opt Out

### **Communication Preference**

Consent for Communication to be received by first account holder / all Account holder: (Tick the applicable box). If not marked the default option would be first holder.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email Id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures			

**Annexure-A**

**(SEBI/HO/OIAE/OIAE\_IAD-3/P/ON/2025/01650, dated January 10,2025)**

**Nomination Form for Demat Accounts and Mutual Fund (MF) Folios**

I/We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)\*

**Nomination Details**

<b>Multiple Nomination Form</b> (To be filled in by individual applying singly or jointly)							Date				
<b>Trading Member Name</b> Spark PWM Private Limited				<b>Trading Code / UCC</b>							
<b>Depository Participant Name</b> Spark PWM Private Limited				DP ID	1	2	0	9	0	1	0
<b>Client ID</b>				<b>Nomination Registration Number</b>							
	<b>Mandatory Details</b>							<b>Additional Details</b> ****			
<b>Nominee</b>	<b>Name of Nominee</b>	<b>Share of Nominee (%)**</b>	<b>Relationship</b>	<b>Postal Address</b>	<b>Mobile Number &amp; E-mail</b>	<b>Identity Number ***</b>	<b>D.o.B. of Nominee</b>	<b>Guardian</b>			
1											
2											
3											
4											
5											

Nominee	Mandatory Details						Additional Details ****	
	Name of Nominee	Share of Nominee (%)**	Relationship	Postal Address	Mobile Number & E-mail	Identity Number ***	D.o.B. of Nominee	Guardian
6								
7								
8								
9								
10								

**\*Joint Accounts**

Event	Transmission of Account / Folio to
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

\*\* if % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination for. (see table in 'Transmission aspects').

\*\*\* Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO, Passport number is acceptable.

\*\*\*\* to be furnished only in following conditions / circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

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

Name of nominee(s)

Nomination: Yes / No

2) I hereby authorize \_\_\_\_\_ (nominee number \_\_\_\_\_) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to \_\_\_\_\_ % of assets in the accounts / folio or Rs.\_\_\_\_\_. (Optional) (Strike off portions that are not relevant).

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) - As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (Wherever Applicable)*
<b>Sole / First Holder (Mr./Ms.)</b>				
<b>Second Holder (Mr./Ms.)</b>				
<b>Third Holder (Mr./Ms.)</b>				

\* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

#### **Rights, Entitlement and Obligation of the investor and nominee:**

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
  - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
  - 'First holder' Folios / Accounts - only First holder can sign
  - 'Jointly' Folios / Accounts - all holders have to sign

#### **Transmission Aspects**

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile numbers(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
<b>Total</b>	<b>100%</b>	<b>-</b>	<b>40%</b>	<b>60%</b>	<b>100%</b>

**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]**

<b>Declaration Form for opting out of nomination</b>		<b>Date</b>										
Trading Member Name			<b>Trading Code / UCC</b>									
Depository Participant Name	Spark PWM Private Limited		DP ID	1	2	0	9	0	1	0	0	
<b>Client ID</b> (only for Demat account)												
<b>Name(s) of holder(s)</b>												
Sole / First Holder Name												
Second Holder Name												
Third Holder Name												
<input type="checkbox"/> 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>Signature(s) of holder</b>	
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

<b>Signature of Witness incase the account holder affixes thumb impression, instead of signature.</b>		
Name of the Witness	Address of the Witness	Signature of the Witness
		

-----  -----

Date

**ACKNOWLEDGEMENT**

Declaration Form for opting out of nomination

From \_\_\_\_\_

having Trading Code

<b>Query ID</b>	<input style="width: 10px;" type="text"/>
<b>Client ID</b>	<input style="width: 10px;" type="text"/>

Your request will be processed within a tentative period of 7 days from the date of receipt or complete documents. In case of queries regarding the status of the request, We request you to call on **Phone No.: 044 6295 0000**. Demat related queries write at [dp.operations@sparkcapital.in](mailto:dp.operations@sparkcapital.in)

For any other queries or complaints write at [dp.grievances@sparkcapital.in](mailto:dp.grievances@sparkcapital.in)  
 No. 1, 3rd Floor First Crescent Park Road, Gandhi Nagar, Adyar - Chennai 600 020 India, Phone No.: 044 6295 0000, Customer Care: 022 6291 6700

**(Only for PMS / Advisory Account)**

**Spark PWM Private Limited**  
**DP ID-12090100**  
**Depository Charges Schedule 'A' for PMS Accounts**

<b>Description</b>	<input type="checkbox"/> <b>Individual Account</b>	<input type="checkbox"/> <b>Non-Individual Account</b>
1. Maintenance Charges(Regular Demat Account)	NIL	NIL
Account Opening Charges	NIL	NIL
2. Market/Off Market Transfers/Inter Depository		
a) Purchase (Credit in)	NIL	NIL
b) Market Sell within Spark Group	As per CDSL charges	As per CDSL charges
c) Off Market Transaction	As per CDSL charges	As per CDSL charges
d) Sell (Debit from) target other than 2 b and c above	As per CDSL charges	As per CDSL charges
e) Mutual fund transactions on debit side	As per CDSL charges	As per CDSL charges
3. Pledge/ Margin Pledge/ Hypothecation		
a) Creation Setup /Creation Acceptance / Closure Set up/ Closure Acceptance	As per CDSL charges	As per CDSL charges
Margin Pledge/Release of Margin Pledge	As per CDSL charges	As per CDSL charges
Margin Repledge	As per CDSL charges	As per CDSL charges
b) Invocation	As per CDSL charges	As per CDSL charges
4. Demat /Destate Charges	NIL	NIL
5. Remat Charges	As per CDSL charges	As per CDSL charges
Redemption	As per CDSL charges	As per CDSL charges

Note: Please note that the above charges may vary based on changes in CDSL fees.

## Terms & Conditions:

- Spark PWM Private Limited reserves its right to revise its Charges/ Billing structure at its absolute discretion, by giving one month's notice to clients.
- Cheques/ Pay orders/ D.D., should be drawn in favor of Spark PWM Private Limited. All the other charges will be collected over-the- counter and receipts of the same should be collected immediately.
- Statement of Transaction(s) will be sent to you by courier/ post/ electronically as per guidelines issued by the Central Depository Services (India) Limited/ Securities Exchange Board of India, from time to time.
- All the above-mentioned charges are exclusive of GST. Additional GST will be applicable as per the prevailing rates.

## DEPOSITORY CHARGES- SCHEDULE -'A'

- Please note that, in terms of SEBI Circular No. CIR/MRD/DP/20/2010 dated July 1, 2010, in the event of closing of your demat account or shifting of the demat account from us to another DP we will be refunding you the Account Maintenance Charges for the unrealized quarter/ balance of quarters.
- **Additional Annual Maintenance Charge of Rs. 500 will be levied for all types of corporate accounts as per the Central Depository Services (India) Limited ("CDSL") guidelines. This will be charged on a pro-rata basis. Types of accounts falling under this category will be - Body Corporate/ FI/ FII / Mutual Fund /Trust/Bank/QFI. Inclusion or exclusion in these client types will be subject to change as per guidelines received from CDSL.**
- The value of the transaction(s) will be in accordance with rates provided by CDSL.
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The Client authorizes **Spark PWM Private Limited (Spark PWM)** (Formerly known as Spark Family Office and Investment Advisors(India) Private Limited), to recover the DP charges on various transactions from time to time from the regular shares dealing account/ depository account/ any other account with Spark PWM Private Limited (Spark PWM), and/or Spark PWM as applicable.

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

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

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

**I/We wish to apply for website/ e-mail statement for the depository account.**



(Signature of First Holder)



(Signature of Second Holder)



(Signature of Third Holder)

**DEPOSITORY CHARGES- SCHEDULE. 'A'**

**I wish to open a Regular Demat Account**

**I wish to open Basic Services Demat Account (BSDA)\*\***

Description	<input type="checkbox"/> Individual Account	<input type="checkbox"/> Non-Individual Account	<input type="checkbox"/> BSDA Account
<b>1. Maintenance Charges (Regular Demat Account)</b>	First year Free. From second year onwards Rs.500/- per annum	Rs.500/- For First Year From second year onwards Rs.1000/- per annum	Value of holding Up to 4Lakh Rs.0/- Value of holding 4Lakh to 10lakh Rs.100/- More than 10lakhs Normal AMC as prescribe by DP
<b>Account Opening Charges</b>	Nil	Nil	Nil
<b>2. Market/Off Market Transfers/Inter Depository</b>			
<b>a) Purchase (Credit in)</b>	Nil	Nil	Nil
<b>b) Market Sell Within Spark Group</b>	Rs.10/- per transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
<b>c) Off Market Transaction</b>	Rs.10/- per transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
<b>d) Sell (Debit from) target other than 2 b) and c above</b>	Rs.30/- Per Transaction	Rs.30/- Per Transaction	Rs.30/- Per Transaction
<b>e) Mutual fund transactions on debit side</b>	Rs.7/- Per Transaction	Rs.7/- Per Transaction	Rs.7/- Per Transaction

**3. Pledge/ Hypothecation**

<b>a) Creation Setup /Creation Acceptance /Closure Set up/ Closure Acceptance</b>	Rs.20/- Per Transaction	Rs.20/- Per Transaction	Rs.20/- Per Transaction
<b>Margine Pledge/Release of Margin Pledge</b>	Rs.10/- Per Transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
<b>Margin Repledge</b>	Rs.5/- Per Transaction	Rs.5/- Per Transaction	Rs.5/- Per Transaction
<b>b) Invocation</b>	Rs.25/- Per Transaction	Rs.25/- Per Transaction	Rs.25/- Per Transaction
<b>4. Demat Charges</b>	Rs. 5/- Per Certificate + Rs. 30 for Postage	Rs. 5/- Per Certificate + Rs. 30 for Postage	Rs. 5/- Per Certificate + Rs. 30 for Postage
<b>5. Remat Charges</b>	Rs. 10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request) + Rs. 30/- Postage	Rs. 10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request) + Rs. 30/- Postage	Rs. 10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request) + Rs. 30/- Postage
<b>Redemption</b>	Rs.5/- Per Transaction	Rs.5/- Per Transaction	Rs.5/- Per Transaction
<b>6. Account Closing</b>	Nil	Nil	Nil

**Terms & Conditions:**

- Spark PWM Private Limited reserves its right to revise its Charges/Billing Structure at its absolute discretion, by giving one month's notice to clients.
- Cheque/Pay Orders/D.D., should be drawn in favor of Spark PWM Private Limited. All the other charges will be collected over the counter and receipts of the same should be collected immediately.
- Statement of Transaction(s) will be sent to you by courier/post/electronically as per guidelines issued by the Central Depository Services (India) Limited/Securities Exchange Board of India, from time to time.
- All the above-mentioned charges are exclusive of GST. Additional GST will be applicable as per the prevailing rates.

**\*\*Information on opening BSDA Account**

**What is a Basic Service DEMAT Account?**

- Basic Service Demat Account (BSDA) is a special type of DEMAT account that was introduced in 2012 by SEBI (Securities and Exchange Board of India). It requires much less of an investment compared to a general Demat Account and is mainly intended for small investors who are not keen on regularly investing in Stocks, ETFs, mutual funds, etc. It also reduces the burden on investors who have a DEMAT account with smaller portfolios of upto Rs. 10 lakhs..

continued from previous page...

### What is the eligibility criteria of BSDA?

- While BSDA can come along with several benefits, there are certain criteria to be met in order to be eligible to open a Basic Service Demat Account. Here is the list of the criteria to keep in mind.
  1. The investor should be the sole owner of the account.
  2. The investor should not have any other Demat account.
  3. Only one Demat account can be held under the BSDA category.
  4. The total value of the BSDA shares should not exceed Rs. 10 lakhs at any point.
  5. If the investor has a joint account, he/she should not be the first holder of the account.

In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to BSDA Account without further reference to the respective customers.

If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards.

\*As per SEBI directive, the charge structure for BSDA will be based on value of holdings in the accounts as indicated below:

- I. No AMC shall be levied, if the value of holding is up to Rs. 4,00,000.
- II. For the value of holding from Rs. 4,00,000 to Rs. 10,00,000, AMC not exceeding Rs 100 will be charged.
- III. If the value of holding in such BSDA exceeds Rs. 10,00,000 at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards

It is emphasized that other than AMC as specified above, BSDA shall be treated at par with non-BSDA for the purpose of levying charges for various other services and DPs shall not levy higher charges to BSDA.

The value of holding shall be determined by the DPs on the basis of the daily closing price or NAV of the securities or units of mutual funds, as the case may be. Where such price is not available, the last traded price may be taken into account and for unlisted securities other than units of mutual funds, face value may be taken into account. The value of suspended securities may not be considered for the purpose of determining eligibility of demat account as BSDA.

If the value of holding in such BSDA exceeds the prescribed criteria at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards.

### Services for Basic Services Demat Accounts

- a) Electronic statements shall be provided free of cost. b) Physical statement may be charged at a fee not exceeding 25/- per statement. c) All other conditions as applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to basic services demat account.

### DEPOSITORY CHARGES- SCHEDULE -'A'

- Please note that, in terms of SEBI Circular No. CIR/MRD/DP/20/2010 dated July 1, 2010, in the event of closing of your demat account or shifting of the demat account from us to another DP we will be refunding you the Account Maintenance Charges for the unrealized quarter/ balance of quarters.
- **Additional Annual Maintenance Charge of Rs. 500 will be levied for all types of corporate accounts as per the Central Depository Services (India) Limited ("CDSL") guidelines. This will be charged on a pro-rata basis. Types of accounts falling under this category will be - Body Corporate/ FI/ FII / Mutual Fund /Trust/ Bank/ QFI. Inclusion or exclusion in these client types will be subject to change as per guidelines received from CDSL.**
- The value of the transaction(s) will be in accordance with rates provided by CDSL.
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The Client authorizes **Spark PWM Private Limited (Spark PWM)** (Formerly known as Spark Family Office and Investment Advisors(India) Private Limited), to recover the DP charges on various transactions from time to time from the regular shares dealing account/ depository account/ any other account with Spark PWM Private Limited (Spark PWM), and /or Spark PWM as applicable.

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

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

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

**I/We wish to apply for website/ e-mail statement for the depository account.**

**F9**

(Signature of First Holder)

**S9**

(Signature of Second Holder)

**T9**

(Signature of Third Holder)

## **Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL** **[SMS Alerts will be sent by CDSL to BOs for all debits]**

### **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 account holders 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 without 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 B0s 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)

**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: \_\_\_\_\_

Email ID: \_\_\_\_\_  
(Please write only ONE valid email ID on which communication, if any, is to be sent)

**F10•**

The logo consists of a blue diamond shape with a white border. Inside the diamond, the letters 'S10-' are written in a white, sans-serif font.

T10

Place:

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

## Declaration for Opening Depository Account Along with Acceptance of KYC Document Booklet

### Declaration for Availing Research Services

By signing this document you confirm that you have read and understood the T&C, Rights and Obligations, Risk Disclosure, Policy and General Information mentioned in the additional booklet. You also confirm that all information furnished by you in this form is true.

1. I am desirous of opening the trading for Equity with **Spark PWM Private Limited (Spark PWM)** and depository in the process of executing client registration documents relating to the opening of trading and demat account.
2. I have furnished all the details required in the KYC form as per SEBI / Exchange / Depository requirements. I confirm having read / been explained and understood the contents of the KYC documents which are provided to me in separate booklet. The KYC document booklet includes the following:-
  - a) Instructions and Checklist for filling the KYC, Ckyc form and FATCA Declaration.
  - b) Information on Anti Money Laundering.
  - c) Rights and Obligations of the parties relating to Trading account (Including internet and wireless technology based trading) prescribed by SEBI and Stock Exchanges and Rights and Obligations between Beneficiary Owner and Depository Participant.
  - d) Uniform Risk Disclosure Document(RDD) prescribed by SEBI and Stock Exchanges, including guidance note and Do's and Don'ts for clients.
  - e) Policies and Procedures(under paragraph 8 of SEBI Circular No: MIRSD/SECIR-19/2009 dated December 3, 2009).
  - f) Additional terms and conditions for Equity- (Voluntary Document).
  - g) Terms and Conditions- for receiving SMS Alerts from CDSL (Annexure 2.4) and Transaction Using Secured Texting (TRUST)(Annexure 2.6).
  - h) General Information for both Trading and Demat account.
3. I/We understand that the KYC document booklet is in accordance of the exchanges and/or SEBI/DP requirements applicable for opening trading/DP account. I/We understand and agree that any amendment/modifications as required by the exchanges/DP and/or regulators will be applicable to me at all point of time and changes if any in future will be intimated to me.
4. I/We understand that as additional control have registered the KYC documents related to opening of trading and depository account, respectively are registered with the Sub-Registrar of Assurances, Mumbai bearing registration number BBI1/4615/2014 and BBI2/4617/2014 respectively dated May 30, 2014 and same is available with the registrar for records and reference purpose. This is not mandated by SEBI.
5. I/We have received the booklet with above mentioned contents. I/We also confirm having read/been explained and understood the contents of the documents on policy and procedures of the stock broker and their Terms & Conditions in the booklet.
6. Declaration regarding Research Services:  
I/We have received, read and understood the Minimum mandatory terms and conditions to clients, Most Important Terms and Conditions and Investor Charter for Research Analysts and declare as below:  
I/ We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.  
I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report. I/We understand that –
  - Any investment made based on the recommendations in the research report are subject to market risk.
  - Recommendations in the research report do not provide any assurance of returns.
  - There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report.I/We acknowledge the following declaration of the RA that:
  - It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014, under registration number INH200008954 dated August 02, 2023.
  - It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;
  - Research Analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
  - The maximum fee that may be charged by RA is INR 1.51 lakhs per annum per family of client.
  - The recommendations provided by RA do not provide any assurance of returns.I/We am aware that the Minimum mandatory terms and conditions to clients, Most Important Terms and Conditions and Investor Charter for Research Analysts are available on <https://www.sparkadvisors.in/about-us> under Regulatory Information section.
7. The Client hereby represents, warrants and confirms that they have independently and of their own volition decided to open an account with Spark PWM. The Client acknowledges and confirms that no solicitation or offer has been made by Spark PWM or any of its employees in relation to the above identified product/facility/service or any other product or service offered by them.

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

 F11 S11 T11

Date : 

D	D
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M	M
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Y	Y	Y	Y
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## Request for SMS and E-mail Alerts from Depository

Dear Sir,

**Sub: SMS and E-mail alerts from Depository Participant for my Demat account \_\_\_\_\_ with you**

\* If opted for both SMS and Email facility, it is mandatory to give both the Mobile number and Email ID.

If you wish to receive alerts by SMS/E-mail, the following options are available (Tick any one and give the details accordingly)

- A) Same as provided in KYC Form
- B) I/We desire to give mobile number/email id of family member. I/We give my consent to make available my/our trade information to my Family Member and the mobile number/email Id of my family member is as under. ('Family' would mean self, spouse, dependent children and dependent parents. Provided such Family Member is also a client of the said broker)

Name of Family Member	Relationship with client	Type of service (SMS/Email/Both SMS & Email)*	Mobile No. of Family Member	Email ID of Family Member	Client Code
	Relationship Status <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parent [Mother, Step Mother, Father, Step Father], <input type="checkbox"/> Dependent children [Son, Stepson, Daughter, Stepdaughter]				

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



(Signature of First Holder)



(Signature of Second Holder)



(Signature of Third Holder)

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

To,

**Spark PWM Private Limited (Spark PWM)**

No 1, 3rd Floor, First Crescent Park Road,  
Gandhi Nagar, Adyar Chennai -600 020

PAN									
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Respected Sir/Madam,

I Mr./Mrs./Ms. \_\_\_\_\_, (please mention the name as required in your trading/Demat Account with Spark), desire to open a trading & Demat account with you as per the name mentioned above. I, state and declare that my name has been mis-spelt/has variations, as per the various documents given by me, for opening of Trading & Demat account with Spark PWM Private Limited.

Details of the mismatch or variations in my name are as follows -

<b>My name as per PAN Card</b>	
<b>My name as per PAN site</b>	
<b>My name as per Bank (Proofs enclosed)</b>	
<b>My name as per Address Proof, if any</b>	
<b>My name as per Demat Proof, if any</b>	
<b>My name as per Additional Proof, if any</b>	

I hereby agree and confirm that what is stated above is true and correct information. I hereby agree to indemnify and keep Spark PWM Private Limited, indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorneys fees) suffered and /or incurred by Spark PWM Private Limited, for any act done or omitted to be done based on the above declaration.

Yours Faithfully,

Signature of Client/Applicant 

<b>CLIENT NAME</b>	
<b>CLIENT ADDRESS</b>	
<b>(Full address of client)</b>	

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

To,

**Spark PWM Private Limited (Spark PWM)**

No 1, 3rd Floor, First Crescent Park Road,  
Gandhi Nagar, Adyar  
Chennai -600 020 India

Dear Sir / Madam,

**Subject: Confirmation regarding non solicitation of our relationship with Spark PWM Private Limited.**

I/We state and confirm that my / our proposed relationship with Spark Group entities to be made > is as per my own / our volition in the following products / services:

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

I/We further confirm that I/ We have neither been solicited nor contacted in any manner by any person(s) or any of the representatives of Spark PWM Private Limited Pvt Ltd directly or indirectly.

I hereby confirm that as per Income tax requirement I am Non Resident and I am filing Income tax return / I am not required to submit the Income Tax Return under Non Resident Indian category. I hereby confirm that I have opened Bank account through Authorised dealer which is applicable to Non Resident Indian.

I have complied with and I will continue to comply with the FEMA Regulations and other applicable laws (of India or overseas regulators), as may be applicable from time to time with regard to relationship with Spark PWM Private Limited. in any manner.

I have separately provided GDPR Declaration. GDPR consent will be provided if it applies to me.

<b>Signature:</b>	
<b>Name of the Client</b>	
<b>Address of the client:</b>	
<b>Place:</b>	
<b>Country:</b>	

# INVESTOR CHARTER FOR DEPOSITORY PARTICIPANTS

## 1. Vision

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

## 2. Mission

- To hold securities of investors in dematerialized form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

## 3. Details of business transacted by the Depository and Depository Participant (DP)

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (Dps), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [<https://www.cdslindia.com/DP/dplist.aspx>].

## 4. Description of services provided by the Depository through Depository Participants (DPs) to investors

### (1) Basic Services

S. No.	Type of Activity	Timelines for activity
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion/ Destatementization	5 days
4.	Re-conversion/Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities up to 4 p.m. and DIS in electronic form up to 6 p.m. on T+1 day

### (2) Depositories provide special services like pledge, hypothecation, internet-based services etc. in addition to their core services and these include

S. No.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA). b. Transposition cum dematerialization. c. Linkages with Clearing System. d. Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).

S. No.	Type of Activity /Service	Brief about the Activity / Service
3.	Digitalization of services provided by the depositories	<p>Depositories offer below technology solutions and e-facilities to their demat account holders through Dps:</p> <ol style="list-style-type: none"> <li><u>E-account opening.</u></li> <li><u>Online instructions for execution, document</u></li> <li><u>e-DIS / Demat Gateway.</u></li> <li><u>e-CAS facility.</u></li> <li><u>Miscellaneous services.</u></li> </ol>

#### 4. Details of Grievance Redressal Mechanism

##### (1) The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <ol style="list-style-type: none"> <li>Electronic mode-           <ol style="list-style-type: none"> <li>SCORES (a web based centralized grievance redressal system of SEBI) [<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>]</li> <li>Respective Depository's web portal dedicated for the filing of compliant [<a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a>]</li> <li>Emails to designated email IDs of Depository [<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>]</li> </ol> </li> <li>Offline mode - Email to designated email id of Dps [<a href="mailto:investorgrievance@sparkcapital.in">investorgrievance@sparkcapital.in</a>]</li> </ol> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.</p>
2.	Investor Grievance Redressal Committee of Depository	If no amicable resolution is arrived, then the Investor has the option to refer the complaint/ grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by hearing the parties and examining the necessary information and documents.
3.	Arbitration proceedings	The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).

##### (2) For the Multi-level complaint resolution mechanism.

#### 5. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant

S. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	<ul style="list-style-type: none"> <li>Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> <li>Participant surrenders the participation by its own wish.</li> </ul>	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

## 7. Dos and Don'ts for Investor

S. No.	Guidance
1.	Always deal with a SEBI registered Depository Participant for opening a demat account.
2.	Read all the documents carefully before signing them.
3.	Before granting Power of attorney to operate your demat account to an intermediary like Stockbroker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
4.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
5.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
6.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
7.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
8.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
9.	Do not share password of your online trading and demat account with anyone.
10.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
11.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
12.	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
13.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at <a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17.	Register for Depository's internet-based facility or download mobile app of the depository to monitor your holdings.
18.	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.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20.	Beware of assured/fixed returns.

## **8. Rights of investors**

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/ multiple Dps.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and/or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.

## **9. Responsibilities of Investors**

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades / transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

## INFORMATION CONTAINED IN LINKS TO THE INVESTOR CHARTER FOR DEPOSITORIES

This document contains the contents pertaining to the qualifier "[<https://www.cdslindia.com/Investors/InvestorCharter.html>]" in the Investor Charter main document. The same is to be made available by the Depositories on their websites and web-links to the same is to be provided for incorporation in the Investor Charter.

For reasons of convenience, the contents in main Charter and this document have been mapped with the same superscript.

### Para 4(2) of Investor Charter

#### Point 1: Value Added Services

- a. Basic Services Demat Account (BSDA)<sup>1</sup>: The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 4,00,000. For value of holdings between Rs 4,00,001-10,00,000, AMC not exceeding Rs 100 is chargeable.
- b. Transposition cum dematerialization<sup>2</sup>: In case of transposition-cum- dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.
- c. Linkages with Clearing System<sup>3</sup> for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.

#### **Point 3: Digitization of services provided by the depositories**

- a. E-account opening<sup>4</sup>: Account opening through digital mode, popularly known as "On-line Account opening", wherein investor intending to open the demat account can visit DP website, fill in the required information, submit the required documents, conduct video IPV and demat account gets opened without visiting DPs office.
- b. Online instructions for execution<sup>5</sup>: internet-enabled services like Speed-e (NSDL) & Easiest (CDSL) empower a demat account holder in managing his/her securities 'anytime-anywhere' in an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile applications through android, windows and IOS platforms.
- c. e-DIS / Demat Gateway<sup>6</sup>: Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide settlement number along with the ISIN and quantity of securities being authorized for transfer. Client shall be required to authorize each e-DIS valid for a single settlement number / settlement date, by way of OTP and PIN/password, both generated at Depositories end. Necessary risk containment measures are being adopted by Depositories in this regard.
- d. e-CAS facility<sup>7</sup>: Consolidated Account Statements are available online and could also be accessed through mobile app to facilitate the investors to view their holdings in demat form.
- e. Miscellaneous services<sup>8</sup>: Transaction alerts through SMS, e-locker facilities, chatbots for instantaneously responding to investor queries etc. have also been developed.

### Para 5(1) of Investor Charter

#### Point 2 (Investor Grievance Redressal Committee of Depository)

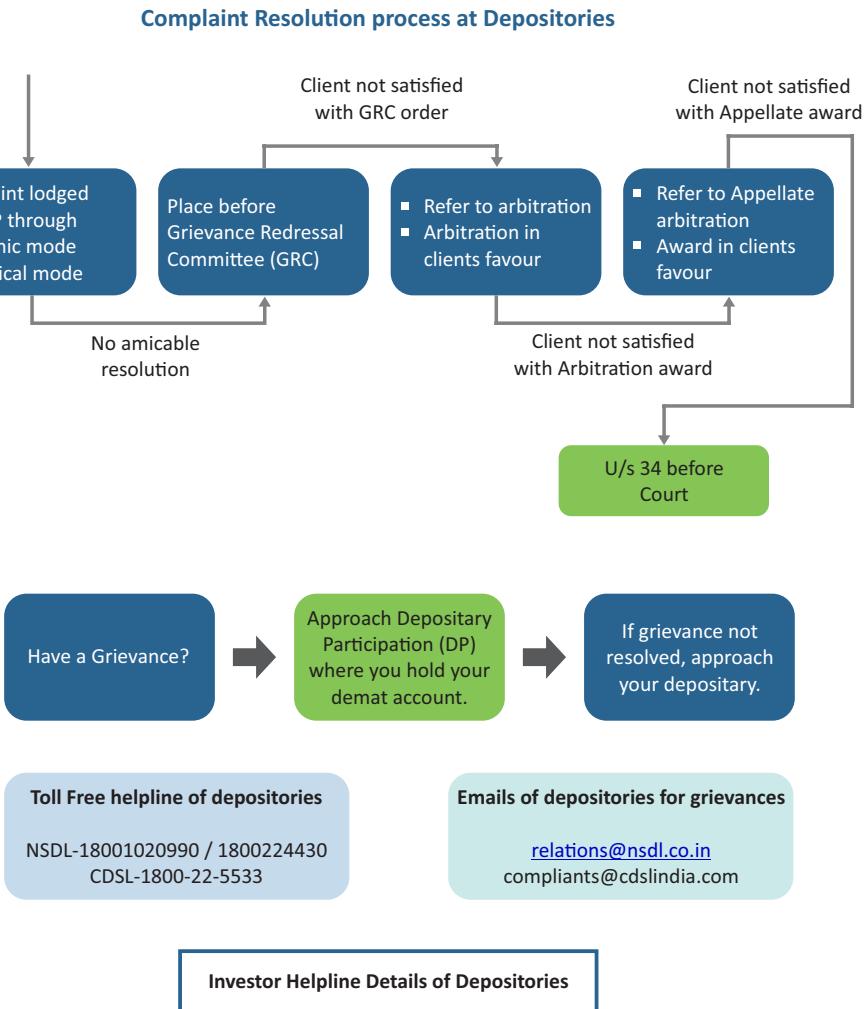
If no amicable resolution is arrived, then the Investor has the option to refer the complaint/grievance to the Grievance Redressal Committee (GRC) of the Depository. Upon receipt of reference, the GRC will endeavor to resolve the complaint/ grievance by hearing the parties and examining the necessary information and documents.

#### Point 3(Arbitration proceedings)<sup>10</sup>:

The Investor may also avail the arbitration mechanism set out in the Byelaws and Business Rules/Operating Instructions of the Depository in relation to any grievance, or dispute relating to depository services. The arbitration reference shall be concluded by way of issue of an arbitral award within 4 months from the date of appointment of arbitrator(s).

## Para 5(2) of Investor Charter

### Complaint Resolution process at Depositories<sup>11</sup>



### Spark PWM-Escalation matrix for Investor grievances

Details of	Contact Person	Address	Contact No.	Email Id
<b>Customer care</b>	Naresh Burté	Unit No. 1252, 5th floor, Building 12, Solitaire Corporate Park, Andheri-Kurla Road, Andheri (East), Mumbai-400 093	+91 22 6291 6700 (Monday-Friday; 9:30 AM to 6:00 PM)	dp.operations@sparkcapital.in
<b>Head of Customer care</b>	Sushma Kotian	Unit No. 1252, 5th floor, Building 12, Solitaire Corporate Park, Andheri-Kurla Road, Andheri (East), Mumbai-400 093	+91 22 6291 6735 (Monday-Friday; 9:30 AM to 6:00 PM)	investorgrievance.pwm@sparkcapital.in
<b>Compliance Officer</b>	Bansi Sanghvi	Unit No. 1252, 5th floor, Building 12, Solitaire Corporate Park, Andheri-Kurla Road, Andheri (East), Mumbai-400 093	+91 22 6291 6740 (Monday-Friday; 9:30 AM to 6:00 PM)	dp.compliance@sparkcapital.in
<b>Director</b>	Y Rama Rao	No. 1, 3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai 600 020	+91 44 6925 0000 (Monday-Friday; 9:30 AM to 6:00 PM)	compliance@sparkcapital.in

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with

- CDSL at <https://cdslindia.com/investors/investorcharter.html> or
- SEBI at <https://scores.sebi.gov.in>
- ODR at <https://smartodr.in/>

Please quote your Service Ticket/Complaint Ref No. while raising your complaint at SEBI SCORES/Exchange portal.



**Registered Office Address:**

**Spark PWM Private Limited**

No. 1, 3rd Floor | First Crescent Park Road | Gandhi Nagar | Adyar | Chennai - 600 020  
CIN:- U93000TN2012PTC086696 | Board No: 91 6925 0000 | Web: [www.sparkcapital.in](http://www.sparkcapital.in)

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