

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 : _____

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

Client Name	
-------------	--

TRADING CODE	DEMAT ID

Section to be updated by Operations Team

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

Sub-Broker (AP)	
Code	
Name	









To be filled by Operations Team

	Employee Name	Date of Entry
Maker		
Checker		

Services Offered	Depository Services	Broking Services
Services Offered by (Company Name)	Spark PWM Private Limited	
SEBI Registration No.	IN-DP-757-2023	INZ000285135
Membership	Depository Participant of CDSL	Trading Member of NSE & BSE
Corporate Identity Number:	U93000TN2012PTC086696	
Registered Address	No. 1,3rd Floor, First Cresnet Park Road, Gandhi Nagar, Adyar, Chennai 600 020.	
Corporate Office	Unit No. 1252, 5 th Floor, Solitaire 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	
Contact No.	+91 44 6925 0000	+91 22 6291 6720
Customer Care	+91 22 6291 6700	+91 22 6291 6735
Website	www.sparkadvisors.in	
Compliance Officer	Bansi Sanghvi	
Compliance Officer Contact No.	+91 22 6291 6740	
Compliance Officer Email Id	pwm.compliance@sparkcapital.in	
Investor Grievance	dpgrievances@sparkcapital.in	grievances@sparkcapital.in
Any Grievance please contact us	+91 22 6291 6720	+91 22 6291 6717

In case not satisfied with the response, please contact Depository or Exchanges on below numbers.			
	Depository Services	Broking Services	ODR
Email Id	complaints@cdslindia.com	NSE: ignse@nse.co.in BSE: isc.mumbai@bseindia.com	Email: help@smartodr.in
Contact No.	+91 22 2305 3333	NSE: +91 22 26598190 BSE: +91 22 22728138	+91 8105148710

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with CDSL at <https://www.cdslindia.com/Footer/grievances.aspx> or NSE at <https://investorhelpline.nseindia.com/NICEPLUS/> or BSE at <https://bsebs.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			
 To 	 To 	 To 	
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
- Copy of Annual Accounts
- Copy of Income Tax
- Demat Holding Statement
- Copy of Form 16 (Salary Certificate)
- 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

INDEX

FOR TRADING AND CDSL DEMAT ACCOUNT

Sr. No.	Name of the Document	Brief Significance of the Document	Page No
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	Financial Status and other details	Document captures the additional information about the Client relevant to Trading and Demat account	14-17
	Nomination Form	Financial Status and other details as per Prevention of Money Laundering Act, 2002 (PMLA)	18
2	Tariff Sheet- Demat	Nomination Form (Annexure A and B)	19-24
		Document detailing the Demat tariff/charges	25-28
3	SMS Alerts from CDSL	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	29-30
		Declaration for opening Trading and Demat Account along with acceptance of KYC	31
		Document Booklet	
4	Tariff Sheet - Equity	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	32
VOLUNTARY SECTION IN KYC			
5	DDPI	Demat Debit & Pledge Instruction	33
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7	SMS and E - mail alerts	Request for SMS and E-mail alerts from Stock Exchange/s and stock Brokers	36
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5	Rights and Obligations - Stock Broker	Document Stating the Right & Obligations of Stock Broker / Authorized person and clients for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	8-12
6	Risk Disclosure Documents (RDD)	Document detailing risks associated with dealing in the securities market	13-15
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8	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker	17-19
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12	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]	35-36
13	Term and Conditions for TRUST service	Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL	37-38
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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
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>			
Maiden Name	<input type="text"/>			
Father / Spouse Name*	<input type="text"/>			
Mother Name*	<input type="text"/>			
Date of Birth*	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	PAN No.* <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Form 60 furnished	
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Single	<input type="checkbox"/> Married	Current Nationality*	<input type="checkbox"/> Indian <input type="checkbox"/> Other <input type="text"/>
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others <input type="text"/> Please Specify <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Students <input type="checkbox"/> B-Business <input type="checkbox"/> 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

F2

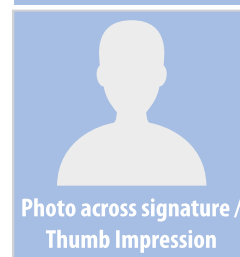
PHOTO

Photo across signature / Thumb Impression

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

State*

Country*

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)

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

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 :

F3

Signature/ Thumb impression of the Client

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC code received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY**INSTITUTIONS DETAILS**Date Name **Spark PWM Private Limited**Emp Name Code **I N 5 0 7 6**Emp Code Emp Designation Emp Branch **Employee Signature****(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.
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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.
 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.
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**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
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

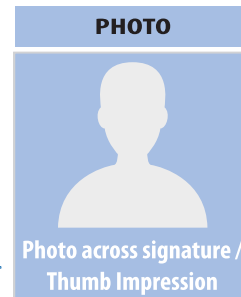
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	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	PAN No.* <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Form 60 furnished	
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Single	<input type="checkbox"/> Married	Current Nationality* <input type="checkbox"/> Indian <input type="checkbox"/> Other <input type="text"/>	
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**Address**

Line 1*

Line 2

Line 3

District* Pin / Post Code* State*

Country*

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Date :

Place :

S3

Signature/ Thumb impression of the Client

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Employee Signature

(Institution Stamp)

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	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>			
Maiden Name	<input type="text"/>			
Father / Spouse Name*	<input type="text"/>			
Mother Name*	<input type="text"/>			
Date of Birth*	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="-"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="-"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	PAN No.*	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Form 60 furnished
Gender*	<input type="checkbox"/> M - Male	<input type="checkbox"/> F - Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Single	<input type="checkbox"/> Married	Current Nationality*	<input type="checkbox"/> Indian <input type="checkbox"/> Other <input type="text"/>
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)		<input type="checkbox"/> O-Others <u>Please Specify</u>	<input type="checkbox"/> Professional
	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Students) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised

Line 1*																													
Line 2																													
Line 3																				City / Town / Village*									
District*										Pin / Post Code*										State*									
Country*																													



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)

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

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

Signature/ Thumb impression of the Client

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC code received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC Process ☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

INSTITUTIONS DETAILS

Date

Name **Spark PWM Private Limited**

Emp Name

Code **I N 5 0 7 6**

Emp Code

Emp Designation

Emp Branch

Employee Signature

(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.

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

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
Åland 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
Angola	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	Montenegro	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	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NZ	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 the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	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	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	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 accountholder _____ 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 [#]	Tax Identification Number [%]	Identification Type (TIN or Other%, please specify)

[#] To also include USA, where the individual is a citizen/ green card holder of USA[%] 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

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 accountholder _____ 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 [#]	Tax Identification Number [%]	Identification Type (TIN or Other%, please specify)

[#] To also include USA, where the individual is a citizen/ green card holder of USA[%] 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 accountholder _____ 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 [#]	Tax Identification Number [%]	Identification Type (TIN or Other%, please specify)

[#] To also include USA, where the individual is a citizen/ green card holder of USA[%] 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

Date: ____/____/____

Place: _____

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE	
All Segments	Cash	F&O
		
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____		

(Strike off, if not applicable)

"In future, if you wish to trade on any new segment / exchange, please submit a duly signed authorisation / letter to us."

Purpose of Trading

☐ Hedging ☐ Investment ☐ Others (Specify) _____

GST Details

GST Registration No. : _____ GST Location : _____

Introducer Details

Name of the Introducer : _____
(Surname) (Name) (Middle Name)

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

Address of the Introducer : _____

AP / Client Code _____

Tel. No. / Mob. No. _____

Signature of the Introducer :  _____

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 :

Sole/First Holder's Name		PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		AADHAR NO	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		UCC	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		Exchange Name & ID _____							
Second Holder's Name		PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		AADHAR NO	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Third Holder's Name		PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		AADHAR NO	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Name*		PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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(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.)

Education Qualification : ☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional

Type of Account - Sub Status - Individual

- ☐ Individual Resident ☐ Individual-Director ☐ Individual Director's Relative ☐ Individual HUF / AOP ☐ Individual Promoter ☐ Minor
☐ Individual Margin Trading A/C (MANTRA) ☐ Others (specify) _____

Type of Account - Sub Status (NRI)

- ☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI Non – Repatriable ☐ NRI – Depository Receipts ☐ Others (specify) _____

Type of Account - Sub Status (Foreign National)

- ☐ Foreign National ☐ Foreign National-Depository Receipts ☐ 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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Occupation	<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) _____
Please tick if applicable	<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

Additional Details

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

Specify your Email ID, if applicable : _____

Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify) : ☐ Yes ☐ No

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	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRE / NRO
Bank Name (through which transactions will be routed)			
Bank Account No.			
Branch Address			
	Pin <input type="text"/>		
IFSC Code:	MICR No.:	NEFT Code:	

Bank Account(s) Details**Optional**

Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRE / NRO
Bank Name (through which transactions will be routed)			
Bank Account No.			
Branch Address			
	Pin <input type="text"/>		
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) <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in 'Physical')	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/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.]	<input type="checkbox"/> Yes <input type="checkbox"/> No

Whether 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: <input type="checkbox"/> CDSL	DP ID <input type="text"/>	Depository Participant Name _____
Beneciary Name _____	Beneciary ID (BO ID) <input type="text"/>	

CAS Mode : ☐ No ☐ PH ☐ Electronic or PH**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	

Past Actions

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock Exchange/any other authority against the applicant/constituent or its partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

☐ Yes ☐ No If yes, provide details: _____

SMS Alert & Trust Facility

<p>SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4</p>	<p>MOBILE NO. +91 _____</p> <p>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]</p> <p>[(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.)]</p>	
<p>Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions as Annexure - 2.6</p>	<p>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</p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <p>Stock Exchange Name/ID _____</p> <p>Clearing Member Name _____</p> <p>Clearing Member ID (Optional) _____</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Easi</p>	<p>To register for Easi, please visit the website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

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

<p><input type="checkbox"/> I require you to issue Delivery Instruction Slip (DIS) booklet to me immediately on opening my CDSL account though I have issued a DDPI executed in favour of Spark PWM Private Limited with for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through Spark PWM Private Limited ('Spark PWM').</p>	<p><input type="checkbox"/> I do not require the Delivery Instruction Slip (DIS) for the time being, since I have issued a DDPI in favour of Spark PWM Private Limited for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through Spark PWM Private Limited (Spark PWM). However, the Delivery Instruction Slip (DIS) booklet should be issued to me immediately on my request at any later date.</p>
--	---

	First/Sole Holder	Second Holder	Third Holder
Name			
Signatures			

Financial Status and Other Details under PMLA

The information is sought under the Prevention of Money Laundering Act, 2002, the rules and SEBI and Exchange Guidelines issued on Anti Money Laundering:

Gross Annual Income Details (for previous 3 yrs)	Year 1	<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
	Year 2	<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
	Year 3	<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
Networth Details (as on account opening date)		<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

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

Income and Network

I, _____ having PAN no. _____ resident of _____
 _____ (full address) do hereby solemnly affirm and declare as under :-

- a) My annual income is Rs. _____ Source of Income _____
- b) My DP holding as on date is attached herewith. The total valuation as on _____ is Rs. _____
- c) My Networth as on _____ is Rs. _____

I hereby further confirm/undertake that the investments/trading done in securities market are from our own/borrowed sources of funds and we confirm that the funds utilized for trading activity by us is in compliance with the rules, regulations and guidelines stipulated under PMLA.

I certify that the above information given by me is true.

Client Name _____



(Signature of Sole/First Holder)

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

	Mandatory Details						Additional Details ****	
Nominee	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)*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* 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, in 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%
Total	100%	-	40%	60%	100%

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]

Declaration Form for opting out of nomination		Date	
Trading Member Name	Spark PWM Private Limited	Trading Code / UCC	
Depository Participant Name	Spark PWM Private Limited	DP ID	1 2 0 9 0 1 0 0
Client ID (only for Demat account)			
Name(s) of holder(s)			
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.			

Signature(s) of holder	
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

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

----- ✂ -----

Date	<div style="display: flex; justify-content: space-between;"> <div>DDMMYYYY</div> <div>YYYY</div> </div>
-------------	---

ACKNOWLEDGEMENT

Declaration Form for opting out of nomination

From

having Trading Code

Query ID	
Client ID	

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

For any other queries or complaints write at 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

Notes:

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. If the account is held jointly, all joint holders will sign the nomination form.
2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family, etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded, and the depository or the depository participant shall not be under any obligation to transfer the securities in favour of the Nominee(s).
8. Nomination can be made up to three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded.
10. DP ID and Client ID shall be provided where demat details is required to be provided.
11. This nomination shall supersede any prior nomination made by the account holder(s), if any.




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/We am/are 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 Don'ts. 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.

Place _____

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

	First/Sole Holder	Second Holder	Third Holder
Signatures			

Office Use Only

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

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

For Spark PWM Private Limited

Authorised Signatory

(Only for PMS / Advisory Account)

Spark PWM Private Limited

DP ID-12090100

Depository Charges Schedule 'A' for PMS Accounts

Description	<input type="checkbox"/> Individual Account	<input type="checkbox"/> Non-Individual Account
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/ Margine Pledge/ Hypothecation		
a) Creation Setup /Creation Acceptance / Closure Set up/ Closure Acceptance	As per CDSL charges	As per CDSL charges
Margine 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)**, 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.

A rectangular box containing a stylized orange pen icon with the text 'F11' inside it.

(Signature of First Holder)

A rectangular box containing a stylized blue pen icon with the text 'S9' inside it.

(Signature of Second Holder)

A rectangular box containing a stylized blue pen icon with the text 'T9' inside it.

(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
1. Maintenance Charges (Regular Demat Account)	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
Account Opening Charges	Nil	Nil	Nil
2. Market/Off Market Transfers/Inter Depository			
a) Purchase (Credit in)	Nil	Nil	Nil
b) Market Sell Within Spark Group	Rs.10/- per transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
c) Off Market Transaction	Rs.10/- per transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
d) Sell (Debit from) target other than 2 b) and c above	Rs.30/- Per Transaction	Rs.30/- Per Transaction	Rs.30/- Per Transaction
e) Mutual fund transactions on debit side	Rs.7/- Per Transaction	Rs.7/- Per Transaction	Rs.7/- Per Transaction
3. Pledge/ Hypothecation			
a) Creation Setup /Creation Acceptance /Closure Set up/ Closure Acceptance	Rs.20/- Per Transaction	Rs.20/- Per Transaction	Rs.20/- Per Transaction
Margin Pledge/Release of Margin Pledge	Rs.10/- Per Transaction	Rs.10/- Per Transaction	Rs.10/- Per Transaction
Margin Repledge	Rs.5/- Per Transaction	Rs.5/- Per Transaction	Rs.5/- Per Transaction
b) Invocation	Rs.25/- Per Transaction	Rs.25/- Per Transaction	Rs.25/- Per Transaction
4. Demat Charges	Rs. 5/- Per Certificate + Rs. 30 for Postage	Rs. 5/- Per Certificate + Rs. 30 for Postage	Rs. 5/- Per Certificate + Rs. 30 for Postage
5. Remat Charges	Rs. 10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request) + Rs. 30/- 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
Redemption	Rs.5/- Per Transaction	Rs.5/- Per Transaction	Rs.5/- Per Transaction
6. Account Closing	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..

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)**, 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.

F12

(Signature of First Holder)

S10

(Signature of Second Holder)

T10

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

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID

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(Please write your 8 digit DP ID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of: _____


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

 F13

(Signature of First Holder)

 S11

(Signature of Second Holder)

 T11

(Signature of Third Holder)

Place: _____

Date: _____

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 : _____



Date :

D	D
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M	M
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Y	Y	Y	Y
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☐ **Tariff Sheet (if yes, please fill the tariff sheet, otherwise standard Brokerage plan default)**

BROKERAGE DETAILS [#]				
	Intraday (Margin / Future)	Delivery	Futures*	Options
Brokerage Rate				

Applicable to both NSE & BSE Exchanges & Indicative rate which may be subject to change

☐ **Standard Brokerage Plan:**

Plan	Delivery Rate	Futures* and Intraday Cash	Options Premium Rate
Silver	0.50%	0.05%**	Stock - Rs. 50 per lot Index - Rs. 50 per lot

*Futures include: Stock Futures, Index Futures, **On each Leg.

Brokerage applicable for Liquid BEES is at the rate of

- Brokerage rate of 0.5% for all clients on acceptance of shares that are tendered in any buyback offer.
- Minimum brokerage per order of Rs 25 in cash segment and Rs 50 per lot in Option derivatives (subject to maximum of 2.5%)
- In case Physical delivery is taken in derivatives segment above Delivery rate will be applicable.
- Delay payment charges will be levied upto 21%
- Professional Clearing Member Charges will be levied upto 10%.

 F15













First holder Signature

DEMAT DEBIT & PLEDGE INSTRUCTION

(Limited purpose DDPI in favour of Spark PWM for operational requirements as per client authorization/instruction)

This Demat Debit & Pledge Instruction (DDPI) is made by me/us in favour of **Spark PWM Private Limited** a company incorporated under the provisions, of the Companies Act, 1956 in India and having its registered office at No.1, 3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai - 600 020, Tamil Nadu (here in after referred to as "**Spark PWM**"). SEBI vide its Circular SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022, directed the Member to obtain a Voluntary document viz, Demat Debit and Pledge Instruction' (DDPI) for the limited purpose of transfer of securities towards deliveries/settlement obligations and pledging/repledging of securities.

I/We do hereby nominate, appoint and authorise Spark PWM in its capacity as a SEBI registered stock broker, to act through any of its employees or directors, to exercise the power to operate my/our account(s) as specified in the Schedule A (as may be amended from time to time), to transfer securities to any of the Demat account(s) as specified in Schedule B and to do all or any of the following acts, deeds and things in relation to the services provided by the **Spark PWM** for the purpose as mentioned below:

Sl. No.	Purpose	Signature of Client		
		First Holder	Second Holder	Third Holder
(i)	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
(ii)	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange			
(iii)	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
(iv)	Tendering shares in open offers through Stock Exchange platforms			

I/We hereby authorize Spark PWM to do all such acts, deeds, matters and things for and on behalf of me/us as Spark PWM may in its discretion consider necessary, proper, convenient or expedient in order to exercise its powers for the purpose mentioned here in above to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities. I/We understand that this DDPI is a voluntary document executed at the discretion of me/us authorizing Spark PWM to act on my behalf for the purpose mentioned above. I/We hereby, further ratify and confirm and covenant my/our successors and/or permitted assigns to ratify and confirm and covenant, all and whatsoever has been or shall be lawfully done by Spark PWM, its employees and directors, agents, and any other delegates in the premises by virtue of these presents.

AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Demat Debit & Pledge Instruction document is revocable by me/us at any time, upon giving written notice to Spark PWM. Such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior receiving the request for revocation of DDPI.

I/We hereby agree that this DDPI document shall be governed by and interpreted in accordance with the Indian Laws and shall be subject to the jurisdiction of the courts of Chennai.

Schedule A (Detail of demat account of the client which the Spark PWM can operate).

Name of Client/First Holder	
Address of Client	
Trading Account No.	

Depository Participant Name	Spark PWM Private Limited
DP ID CDSL	12090100
Client Account No.	

Schedule B (Details of Stockbroker's Demat Account)

Account Type	Name of DP / CC	DP ID	Account No	CM BP ID
NSE POOL A/C NSDL	Stock Holding Corporation of India Limited	IN301330	22406772	IN520850
BSE POOL A/C NSDL	Stock Holding Corporation of India Limited	IN301330	22406836	IN667338
NSE POOL A/C CDSL	Spark PWM Private Limited	12090100	00000183	-
BSE POOL A/C CDSL	Spark PWM Private Limited	12090100	0000179	-
BSE PRINCIPAL	Spark PWM Private Limited	12090100	00000164	-
CLIENT UNPAID SECURITIES PLEDGE A/C	Spark PWM Private Limited	12090100	00004141	-
CLIENT SECURITIES MARGINE PLEDGE	Stock Holding Corporation of India Limited	IN301330	40352829	-
CLIENT SECURITIES MARGINE PLEDGE	Spark PWM Private Limited	12090100	00000432	-
BSE Early Pay-in	INDIAN CLEARING CORPORATION LIMITED	11000011	00024320	-
NSE Early Pay-in	NSE CLEARING LIMITED	11000011	00020871	-
Client Securities Margin Funding A/C	Spark PWM Private Limited	12090100	00029291	-

Acceptance of DDPI by Spark PWM Private Limited

Authorised Signatory

From :

Client Code: _____

DP Client Code: _____

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

Date :

Spark PWM Private Limited

Subject : Running Account Authorisation

Dear Sir

☐ Yes ☐ No

- a. To maintain my/our account on a running account basis and adjust any amounts receivable from me against any credits standing into my account or from my forthcoming payouts payable by me/ us to Spark PWM Private Limited, where I am / we are registered with you as a Client.
- b. I/We request you to keep my/our funds with you to meet my/our pay in obligations in the succeeding settlements in the same segment as well as other segments of BSE and/or NSE where I/We am/are registered with you as a Client.
- c. Further it is observed that many times the date on which payment is due to me/us from you and the date which I am/ we are required to make payment to you are very close and therefore exchange of cheques become unnecessary paper work. Hence, I/We request you to maintain the running account facility with you. I/We agree that you shall not be required to pay any interest/ charges/ cost in respect of funds on a running account basis.
- d. I/We hereby give my/our consent for periodic settlement of my/our funds.
- e. My/our preference for periodic settlement of funds is as follows:-
 - a. Monthly ☐ b. Quarterly ☐
- f. I/We declare that this authorisation is revocable by me/us at any time without giving any prior notice of such revocation to Spark PWM Private Limited.
- g. I/We agree that for any pay outs from my trading account, I/We specifically shall intimate about the same and Spark PWM Private Limited shall upon due scrutiny of my account and upon adherence to its policy/procedure, shall release eligible amount to me/us. I/We agree that this authorisation shall have an equal binding effect to the successors, executors and assigns of Spark PWM Private Limited.
- h. I/We hereby authorise you to transfer/adjust all the additional funds lying in my/our ledger account after meeting my obligations/dues, to the collateral account to avail exposure or keep all funds in your margin account with you to meet my margin obligations or keep the same with any exchange and/or with clearing member in the form of fixed deposit or any other form to avail exposure/meet margin requirements. This arrangement would be without any consideration or the funds so moved will not bear any interest/commission payable to me/is in the event of above arrangement.

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

I am registered as a Client and having the captioned trading account and Depository account hereby authorize Spark PWM for the following:

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

- a) I/we authorize Spark PWM to issue me/us electronic contract notes (ECN's), bills, trade confirmations, ledgers, daily margin statements, statement of accounts for periodical settlement of funds and securities, any notices, circulars, amendments and such other correspondence or communication related to my/our trading account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the information technology Act, 2000 and the rules made there under to the E-mail ID as mentioned hereunder:
- b) I/We understand that the documents received on e-mail/displayed on website are for my/our convenience. I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name & password of the internet/email account. I/We are aware that the documents as may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- c) I/We shall verify the authenticity of the e-mails which I/we shall receive. Spark PWM shall not be responsible, if I/We do not receive the documents due to incorrect email id and /or technical reasons.

To be continued....

continued from previous page.

- d) I authorize Spark PWM to issue me bills, ledgers, monthly/quarterly/yearly demat transaction cum holding statements, any notices, circulars, amendments and such other correspondence or communication related to my demat account (hereinafter referred to as "Documents") and wherever required duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000.
- e) I understand that wherever the e-mails have not been delivered to me or has been rejected (bouncing of mails) from the e-mail ID of mine, Spark PWM would send physical document to me. I further hereby agree that Spark PWM have fulfilled the legal obligation, if the above documents are sent electronically to the above-mentioned e-mail ID. I agree that Spark PWM will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my email/inbox running out of capacity, malfunction of my computer system/server/internet connection, mails received by frauds/imposters etc. I also agree that Spark PWM shall not take cognizance of out-of office/ out-of-station auto replies and I shall be deemed to have received such electronic mails.

I shall inform Spark PWM in writing if there is any change in my registered e-mail ID.

3. Authorisation for debiting various depository charges:- ☐ Yes ☐ No By ticking on YES you authorize Spark PWM to deduct all DP charges from your account
- a) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with Spark PWM. I understand and agree that such depository charges will be debited in my trading ledger maintained with Spark PWM irrespective of the ledger balance on periodically and/or as per the details provided by Spark PWM.
- b) I instruct Spark PWM to provide the requisite information periodically and/or on occasion basis of such charges levied on me by Spark PWM with whom I have opened the trading account. I understand and consent that Spark PWM shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize Spark PWM to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with Spark PWM. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

4. Sharing of Data & Information:-

☐ Yes ☐ No

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

- a) I have opened a trading account with Spark PWM having the captioned client code and demat account with Spark PWM having the captioned client code and am interested in knowing about various financial products /facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
- b) I authorize you, your group companies and associates to keep me informed of any financial product which Spark, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.
- c) I hereby voluntarily accept and expressly authorize Spark PWM to get the information from Spark PWM or from any other Depository Participant of its group/associate companies with whom I have the Demat account and share/disclose or use in any manner, the information/documents/data about me and our transactions, with group of associates companies which is offering the products / facilities. Information provided by me in the Trading and Demat Account Opening Kit. Transaction cum holding statement with Spark PWM and any other related information. My holdings in stocks/securities. Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.
- d) I authorize you to the extent appropriate for our relationship with you, personal information may be shared for the following purposes :-
- to comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti-money laundering and tax reporting rules and regulations;
 - to comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage;
 - to any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to perform internal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc;
 - to any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services.
- e) I have no objection to Spark PWM sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.

Name: _____

Place: _____



(Signature of First Holder)



(Signature of Second Holder)



(Signature of Third Holder)

Request for SMS and E-mail Alerts from Stock Exchange/s & Stock Brokers & Depository Participant

(Reference to SEBI circular Ref. No. CIR/MIRSD/15/2011 dated August 02, 2011)

To,
Spark PWM Private Limited
No. 1, 3rd Floor, First Crescent Park Road,
Gandhi Nagar, Adyar, Chennai - 600 020

This document and the details that you furnish will allow us and the exchanges to send you all relevant information of your account and transactions by SMS and e-mail.

Dear Sir,

Sub: SMS and E-mail alerts from Stock Exchange/s & Stock Brokers, Depository Participant for my Trading Account No. _____ and Demat account _____ with you

I/We request you to activate the facility of SMS and Email alerts from Stock Exchanges/Stock Brokers for transactions in the above mentioned trading account.

☐ YES I/We wish to receive alerts by SMS/EMAIL

☐ By SMS ☐ By EMAIL ☐ By SMS & EMAIL *

* 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 600020

Subject: Authorization to deal in my Trading Account.

Dear Sir / Madam,

This pertains to my Trading Account bearing Trading Code: _____ with Spark PWM Private Limited.

I, hereby authorize Mr. / Ms. _____

who is my _____ to place Investment / Trading orders on my behalf.

My authorized representative may give instructions / orders regarding any transaction by calling from his / her registered telephone / mobile number which is _____.

SPARK PWM shall assume that all instructions/information/orders received from him / her, explicit or implicit, are true and accurate and does not assume any responsibility for verification of accuracy or completeness of such information or instructions.

Such instructions/ information received from him / her shall be conclusively binding on me, irrespective of whether such orders or instructions are or are not subsequently confirmed in writing by him/ her and SPARK PWM shall not be held liable for the same. I will be fully responsible for all trades done in my Trading Account by my authorized representative.

Kindly do the needful.

Yours Truly,



Client Name: _____.

Trading Code: _____.

Date: _____

To,

Spark PWM Private Limited (Spark PWM)

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

Dear Sir / Madam,


Sub: Application to avail Margin Trading Facility (MTF)

With regard to the captioned subject, I/We. _____ am/are
interested in availing MTF facility with Spark PWM Private Limited (Spark PWM).

I/We have read and understood the Rights and Obligations and Terms and Conditions for MTF offered by Spark PWM in this regard and agree to abide by these Terms.
The rate of Interest applicable on the outstanding Debit will be _____ % per annum.

Further, I/we, wish to receive the Contract notes/ other MTF related information by:

☐ Electronic mode ☐ Physical Mode

Name of the Client	
Signature of the Client	

CLIENT RIGHTS:

1. Client shall receive all communications in a mode mutually agreed between Spark PWM Private Limited (Spark PWM) and the Client, regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by Spark PWM to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS:

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of MTF in accordance with the terms and conditions of MTF offered by Spark PWM, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform Spark PWM of its intent to shift the identified transaction under Margin Trading Facility within the timelines specified by Spark PWM failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as Spark PWM Spark PWM may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with Spark PWM within such time as the Spark PWM may specify.
5. By agreeing to avail Margin Trading Facility with Spark PWM, client is deemed to have authorized Spark PWM to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to Spark PWM is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

RIGHTS of SPARK PWM:

1. Spark PWM and Client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Spark PWM may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Spark PWM may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. Spark PWM has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. Spark PWM may liquidate the securities if the client fails to meet the margin call made by Spark PWM as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

SPARK PWM's OBLIGATIONS

1. Spark PWM shall agree with the Client the terms and condition before extending Margin Trading Facility to such Client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, Spark PWM may take consent in writing in his own hand or in any irrefutable electronic method after Spark PWM has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between Spark PWM and the client and shall be in writing in his own hand or in any irrefutable electronic method. Spark PWM shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. Spark PWM shall monitor and review on a continuous basis the client's position with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of Spark PWM provided that such determination shall happen not later than T day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, Spark PWM shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.

8. Spark PWM shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by Spark PWM to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there were no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with Spark PWM for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
13. Spark PWM shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the Spark PWM and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to Spark PWM or Spark PWM surrenders the facility or Spark PWM ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by Spark PWM, in the event of client committing any breach of any terms or conditions therein or at any-time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of Spark PWM committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Spark PWM. Spark PWM shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes Spark PWM to make such adjustment.
4. After such adjustment, if any further amount is due from the client to Spark PWM, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Spark PWM, Spark PWM shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, Spark PWM shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY SPARK PWM TO CLIENTS - BSE

1. **Spark PWM is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.**
2. Spark PWM is desirous of extending MTF to their clients is required to obtain prior permission of BSE. Spark PWM/ Trading Member may note that BSE has the right to withdraw the permission at any time.
3. Spark PWM shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time. Spark PWM and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Spark PWM.
4. Spark PWM shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
5. Spark PWM may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Spark PWM may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.
6. Spark PWM shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
7. Spark PWM shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Spark PWM. In this regard, Spark PWM shall also list down situations/ conditions in the which the securities may be liquidated (Spark PWM to list down situations/ conditions):
8. Spark PWM shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
9. The stocks deposited as collateral with the Spark PWM for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.

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

TERMS AND CONDITIONS FOR MARGIN TRADING FACILITY

1. **Spark PWM is desirous of extending MTF to their clients and has obtained prior permission of BSE and NSE for providing MTF to the clients.**
2. **Spark PWM is permitted to extend MTF to the clients on such terms and conditions as specified by the Stock Exchanges / SEBI from time to time and as mutually agreed by and between Spark PWM and the Clients. This Rights and Obligation comprises the terms and conditions applicable to MTF. Spark PWM and clients shall abide by the same and any other requirements of the margin trading framework, including other rights and obligations, if any, prescribed by the Stock Exchange/ SEBI/ Spark PWM from time to time. Any modifications to the terms and conditions, other than those prescribed by SEBI/Stock Exchanges, shall be intimated to the Clients giving prior notice in advance.**
3. **Equity Shares that are classified as 'Group I Security' by SEBI/Exchanges only shall be eligible for MTF facility.**
4. **All information and communication in relation to MTF shall be communicated to the Clients as per their selected option.**
5. **To avail MTF, the minimum initial margin required to be provided by the Clients, as prescribed by SEBI/Stock Exchanges, is as under:**
 - a) VaR + 3 times of applicable ELM in case of F & O Stocks (i.e., stocks available for trading in the F&O Segment).
 - b) VaR + 5 times of applicable ELM in case of stocks other than F & O Stocks.

(VaR and ELM shall mean VaR and ELM as applicable to respective stocks in the cash segment).
6. Client shall be required to provide the minimum initial margin as applicable for a particular stock to buy that stock under MTF. The margin shall never be lower than that prescribed by the Stock Exchange/SEBI. However, Spark PWM shall have the right to demand a higher initial margin than the margin prescribed by SEBI/Stock Exchanges.
7. Applicable minimum initial margin, additional / increased margin, margin shortfall, if any, can be paid in the form of new/additional funds transfer or Email request for an Inter segment excess fund transfer from the registered email address or additional pledge creation of Group I equity shares valued after an appropriate hair cut as specified by SEBI/Exchanges. Client shall have the right to change collateral securities provided under the MTF with other collateral securities provided that such other collateral securities are approved and sufficient to meet the margin required.
8. Margin requirement on shares purchased under MTF shall be computed by grossing applicable margin i.e., minimum initial margin plus additional / increased margin, if any, on each stock and shortage computed accordingly by deducting available margin from gross margin. Collateral shares and shares purchased under MTF (Funded Shares) shall be marked to market daily for the purpose of computing the margin/shortage of margin.
9. Applicable minimum initial margin and increased margin, if any, shall be kept supplied at all times by the clients in respect of the stocks purchased under the MTF. Client shall pay any shortage in the required margin immediately on receiving demand (margin call) on the trade day following the day of making the margin call failing which Spark PWM shall be at liberty to liquidate the funded shares and/or collateral shares to recover the dues outstanding in the account of the Clients. In case of extreme volatility in the market, Spark PWM may demand payment of margin forthwith and prescribed time for making margin payment shall be construed accordingly. Decision of Spark PWM in relation to market volatility shall be final and binding without Spark PWM having to provide any reason for the decision to the Client.
10. Risk Management Terms and Conditions like Margin requirement, Scrips acceptance for collateral and Funding in Stocks shall apply as per the Spark PWM Risk policy of MTF.
11. The Funded Client stock will be pledged marked 'Spark PWM's MTF Stock Funder Account' on the confirmation of MTF trade by Client on T day. Spark PWM shall transfer the transaction to MTF as per the prescribed means.
12. Funded Stock in MTF cannot be repledged further by Spark PWM. However, collateral pledged for MTF can be further repledged to Clearing Corporation / Clearing Member.
13. Spark PWM will liquidate the position of MTF if client margins falls below the prescribed limit by Spark PWM / Exchanges / SEBI. In case, even after liquidation / closure of position amount is due from the client, SPARK PWM may liquidate the collaterals pledged by the clients to recover the debit.
14. In case client is already availing MTF facility with any other Spark PWM, client needs to inform before availing this facility with Spark PWM.
15. Collaterals pledged with Spark PWM shall always be unencumbered.
16. Any disputes arising between the client and Spark PWM in connection with the margin trading facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.
17. If a client is debarred by orders of lawful authority from trading in the securities market, Spark PWM shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" UCC different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Yours Faithfully,

Signature of Client/Applicant 

Self-Declaration – Name Mismatch

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 -

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

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 

CLIENT NAME	
CLIENT ADDRESS	
(Full address of client)	

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.

Signature:	
Name of the Client	
Address of the client:	
Place:	
Country:	

1. VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

2. MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.
- v) To ensure confidentiality of information shared by investors unless such information is required to be provided in furtherance of discharging legal obligations or investors have provided specific consent to share such information.

3. Services provided to Investors by stockbrokers include

- i) Execution of trades on behalf of investors.
- ii) Issuance of Contract Notes.
- iii) Issuance of intimations regarding margin due payments.
- iv) Facilitate execution of early pay-in obligation instructions.
- v) Periodic Settlement of client's funds.
- vi) Issuance of retention statement of funds at the time of settlement.
- vii) Risk management systems to mitigate operational and market risk.
- viii) Facilitate client profile changes in the system as instructed by the client.
- ix) Information sharing with the client w.r.t. relevant Market Infrastructure Institutions (MII) circulars.
- x) Provide a copy of Rights & Obligations document to the client.
- xi) Communicating Most Important terms and Conditions (MITC) to the client.
- xii) Redressal of Investor's grievances.

4. Rights of Investors

- i) Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself (including website providing mandatory information).
- ii) Receive complete information about the risks, obligations, and costs of any investment before investing.
- iii) Receive a copy of all completed account forms and rights & obligation document.
- iv) Receive a copy of 'Most Important Terms & Conditions' (MITC).
- v) Receive account statements that are accurate and understandable.
- vi) Understand the terms and conditions of transactions you undertake.
- vii) Access your funds in a prescribed manner and receive information about any restrictions or limitations on access.
- viii) Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties in form of tariff sheet.
- ix) Discuss your grievances with compliance officer / compliance team / dedicated grievance redressal team of the firm and receive prompt attention to and fair consideration of your concerns.
- x) Close your zero balance accounts online with minimal documentation
- xi) Get the copies of all policies (including Most Important Terms and Conditions) of the broker related to dealings of your account
- xii) Not be discriminated against in terms of services offered to equivalent clients
- xiii) Get only those advertisement materials from the broker which adhere to Code of Advertisement norms in place
- xiv) In case of broker defaults, be compensated from the Exchange Investor Protection Fund as per the norms in place
- xv) Trade in derivatives after submission of relevant financial documents to the broker subject to brokers' adequate due diligence.
- xvi) Get warnings on the trading systems while placing orders in securities where surveillance measures are in place
- xvii) Get access to products and services in a suitable manner even if differently abled
- xviii) Get access to educational materials of the MIs and brokers
- xix) Get access to all the exchanges of a particular segment you wish to deal with unless opted out specifically as per Broker norms
- xx) Deal with one or more stockbrokers of your choice without any compulsion of minimum business
- xxi) Have access to the escalation matrix for communication with the broker
- xxii) Not be bound by any clause prescribed by the Brokers which are contravening the Regulatory provisions.

5. Various activities of Stock Brokers with timelines

S. No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	3 working days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	First Friday/Saturday of the month / quarter as per Exchange pre-announced schedule
10.	'Statement of Accounts' for Funds, Securities and Commodities	Monthly basis
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	21 calendar days from the receipt of the complaint

6. DOs and DON'Ts for Investors

Dos	DON'Ts
<ol style="list-style-type: none"> 1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Demat Debit and Pledge Instruction (DDPI) However, DDPI is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting DDPI, carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT/CTT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities/ commodities on time, as prescribed by SEBI or exchange from time to time. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (Monthly or Quarterly). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines. 12. Retain documents for trading activity as it helps in resolving disputes, if they arise. 	<ol style="list-style-type: none"> 1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed / guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments

Additionally, Investors may refer to Dos and Don'ts issued by Mills on their respective websites from time to time.

7. Grievance Redressal Mechanism

The process of investor grievance redressal is as follows:

Spark PWM-Escalation matrix for Investor grievances

1	Investor complaint/ Grievances	<p>Investor can lodge complaint/grievance against stock broker in the following ways:</p> <p><u>Mode of filing the complaint with stock broker</u></p> <p>Investor can approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance</p> <p><u>Mode of filing the complaint with stock exchanges</u></p> <p>i. SCORES 2.0 (a web based centralized grievance redressal system of SEBI) (https://scores.sebi.gov.in)</p> <p><u>Two level review for complaint/grievance against stock broker:</u></p> <ul style="list-style-type: none"> First review done by Designated body/Exchange Second review done by SEBI <p>ii. Emails to designated email IDs of Exchange</p>
2	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.
3	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ol style="list-style-type: none"> Investor to approach Market Participant for redressal of complaint If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options: <ol style="list-style-type: none"> May escalate the complaint on SEBI SCORES portal. May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavor to resolve the matter between the Market Participant and investor within 21 days. If the matter could not be amicably resolved, then the matter shall be referred for conciliation. During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute. If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.

8. Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.
- Standard Operating Procedure (SOP) for handling of Claims of Investors in the Cases of Default by Brokers
- Claim processing policy against Defaulter/Expelled members
- List of Defaulter/Expelled members and public notice issued

Grievance Redressal Mechanism

Level 1 - Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Spark PWM - Escalation matrix for Investor grievances

Details of	Contact Person	Address	Contact No.	Email Id
Customer care	Naresh Burte	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6735 (Monday-Friday; 9:30 AM to 6:00 PM)	investorgrievance.pwm@sparkcapital.in
Head of Customer care	Sushma Kotian	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6720 (Monday-Friday; 9:30 AM to 6:00 PM)	sfobroking@sparkcapital.in
Compliance Officer	Bansi Sanghvi	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6740 (Monday-Friday; 9:30 AM to 6:00 PM)	pwm.compliance@sparkcapital.in
CEO	S Ganashyam	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6757 (Monday-Friday; 9:30 AM to 6:00 PM)	compliance@sparkcapital.in

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"> <u>E-account opening.</u> <u>Online instructions for execution.</u> document <u>e-DIS / Demat Gateway.</u> <u>e-CAS facility.</u> <u>Miscellaneous services.</u>

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"> Electronic mode- <ol style="list-style-type: none"> SCORES (a web based centralized grievance redressal system of SEBI) [https://scores.sebi.gov.in] Respective Depository's web portal dedicated for the filing of complaint [https://www.cdslindia.com/Footer/grievances.aspx] Emails to designated email IDs of Depository [complaints@cdslindia.com] Offline mode - Email to designated email id of Dps [investorgrievance@sparkcapital.in] <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.</p>
2.	Investor Grievance Redressal Committee of Depository	<p>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.</p>
3.	Arbitration proceedings	<p>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).</p>

(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"> 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. Participant surrenders the participation by its own wish. 	<p>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.</p>

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 https://scores.sebi.gov.in
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)¹: 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 dematerialization²: 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 System³ 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 opening⁴: 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 execution⁵: 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 Gateway⁶: 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 facility⁷: 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 services⁸: 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.

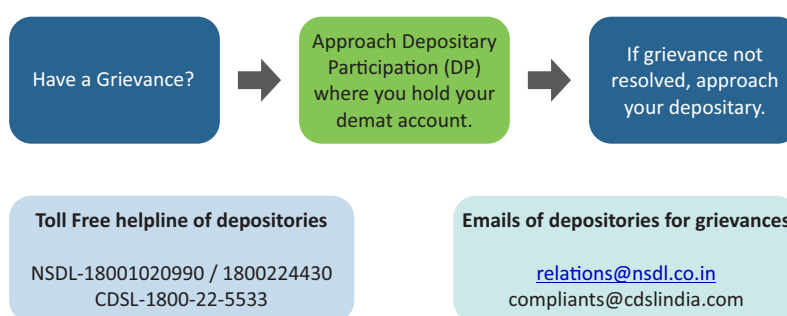
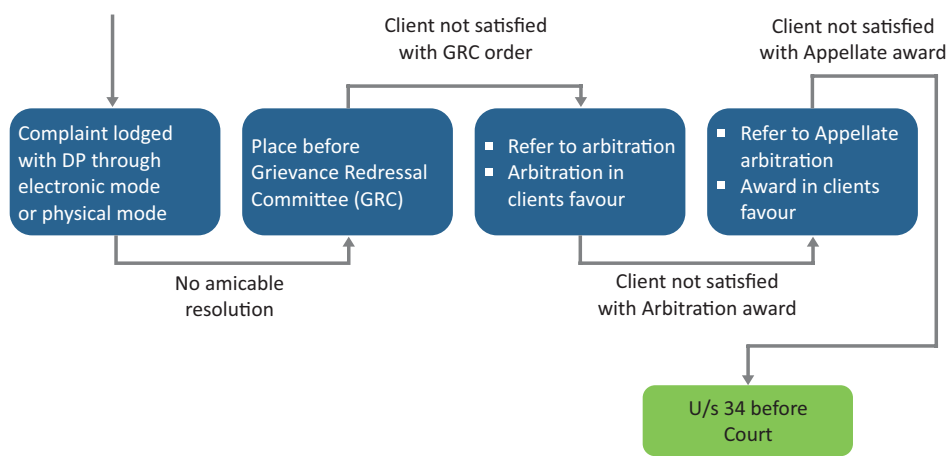
Point 3(Arbitration proceedings)¹⁰:

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 Depositories¹¹

Complaint Resolution process at Depositories



Toll Free helpline of depositories

NSDL-18001020990 / 1800224430
CDSL-1800-22-5533

Emails of depositories for grievances

relations@nsdl.co.in
compliants@cdslindia.com

Investor Helpline Details of Depositories

Spark PWM-Escalation matrix for Investor grievances

Details of	Contact Person	Address	Contact No.	Email Id
Customer care	Naresh Burte	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
Head of Customer care	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
Compliance Officer	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
Director	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.

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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