

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.	
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Client Name	
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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
Services Offered by (Company Name)	Spark PWM Private Limited
SEBI Registrat	IN-DP-757-1023 No.
Membership	Depository Participant of CDSL
Corporate Identity Number:	U67190TN1998PTC039818
Registered Address	No. 1,3rd Floor, First Cresent Park Road, Gandhi Nagar, Adyar, Chennai 600 020.
Corporate Office	Unit No. 1252, 5th Floor, Solitaire 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093
Contact No.	+91 44 6925 0000
Customer Care	+91 22 6291 6700
Website	www.sparkcapital.in
Compliance Officer	Bansi Sanghvi
Compliance Officer Contact No.	+91 22 6291 6740
Compliance Officer Email Id	dp.compliance@sparkcapital.in
Investor Grievance	dp.grievances@sparkcapital.in
Any Grievance please contact us	+91 22 6291 6720

In case not satished with the response, please contact Depository or Exchanges on below numbers.		
	Depository Services	ODR
Email Id	complaints@cdslindia.com	Email: help@smartodr.in
Contact No.	+91 22 2305 3333	+91 8105148710

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

ICONS FOR ILLUSTRATION		
		
First Authorised Signature	Second Authorised Signature	Third Authorised 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 of Nominee and Guardian also to be provided.

Type of Entity	Type of documents
HUF	<ul style="list-style-type: none"> • Pan card of HUF (Mandatory) <p>Address Proof of HUF (Anyone)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months. • Passbook Copy <p>Bank Proof (Anyone)</p> <ul style="list-style-type: none"> • Pre-printed cheque HUF Name Printed • Bank Statement <p>Karta Documents</p> <ul style="list-style-type: none"> • Pan Card (Mandatory) • Aadhar / Driving License / Passport / Voter ID <p>Additional Documents</p> <ul style="list-style-type: none"> • 2 Photograph • Deed of declaration of HUF / List of Coparceners <p>Note : All the coparceners and HUF signature required in the DDPI & Stamp Paper HUF a <input type="checkbox"/> <input checked="" type="checkbox"/> stamp required at all the place where the KARTA sign</p>
Partnership	<ul style="list-style-type: none"> • Pancard of Firm (Mandatory) <p>Address Proof (Anyone)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months • Land line Telephone Bill / Electricity bill (Not more than 3 months old) <p>Bank Proof (Anyone)</p> <ul style="list-style-type: none"> • Pre -printed cancelled Cheque • Bank statement/passbook <p>Additional Document</p> <ul style="list-style-type: none"> • Copy of the Balance sheets for the last 2 financial years • Copy of Partnership deed • Certificate of registration (for registered partnership firms only) • Photograph, POI, POA, PAN of all Partners • Consent letter from Partners • Authorized partners list with specimen signatures • Copy of the Board Resolution
LLP	<ul style="list-style-type: none"> • Pan card of Firm (Mandatory) <p>Address Proof (Anyone)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months • Land line Telephone Bill / Electricity bill (Not more than 3 months old) <p>Bank Proof</p> <ul style="list-style-type: none"> • Pre printed cancelled cheque • bank statement/passbook <p>Additional Document</p> <ul style="list-style-type: none"> • Certificate of Incorporation/ Registration • Latest Shareholding Pattern • Authorized Signatories List with specimen signature • PAN, DIN & Address Proof of all Partners • Copy of latest share holding pattern • Last 2 Years Annual Report (Balance sheet, P&L, Auditors Reports etc.) / Declaration for New entity • Partnership Deed/ LLP Agreement/ Constitution Agreement • All the Authorized Partners signature required on the DDPI & Stamp Paper • UBO Declaration with PAN and Photo for holders > 10% holding • Board Resolution

Trust	<ul style="list-style-type: none"> • Pan card of Trust as well as all Trustee (Mandatory) <p>Address Proof of Trust (Anyone)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months • Land line Telephone Bill / Electricity bill (Not more than 3 months old) <p>Bank Proof of Trust</p> <ul style="list-style-type: none"> • Pre-printed cheque • Bank statement/passbook <p>Additional Documents</p> <ul style="list-style-type: none"> • Copy of the Balance sheets for the last 2 financial years • Copy of Board Resolution required • Copy of Trust deed • Certificate of registration (for registered trust only) • Photograph, POI, POA, PAN of all Trustees • List of trustees certified by managing trustees/CA • List of Authorized Trustees with specimen Signature • UBO Declaration with PAN and Photo for holders >10% holding <p>Note</p> <ul style="list-style-type: none"> • Registered Trust – DP account in the name of Trust • Unregistered Trust – DP account will be open in the name of Trustees bases on Resolution • All the Authorized Signatory signature required on the DDPI & Stamp Paper
FDI	<ul style="list-style-type: none"> • Pan card of Entity (Mandatory) <p>Address Proof (Any one)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months • Land line Telephone Bill / Electricity bill (Not more than 3 months old) <p>Bank Proof</p> <ul style="list-style-type: none"> • Pre-printed Cancelled cheque • Bank statement/passbook <p>Additional Document</p> <ul style="list-style-type: none"> • Copy of the Balance sheets for the last 2 financial years • Copy of latest share holding pattern • Photograph, POI, POA, PAN and DIN numbers of all directors as well as Authorised signatories • Copy of the Memorandum and Articles of Association and Certificate of Incorporation • Copy of the Board Resolution • Authorised signatories list with specimen signatures • FDI Declaration • For an FDI category – need to submit copy of (RBI Approval) • FIPB – Foreign Investment Promotion Board – approval • List of Director
Body Corporate	<ul style="list-style-type: none"> • Pan card of Entity (Mandatory) <p>Address Proof (Any one)</p> <ul style="list-style-type: none"> • Bank Statement not more than 3 months • Land line Telephone Bill / Electricity bill (Not more than 3 months old) <p>Bank Proof</p> <ul style="list-style-type: none"> • Pre-printed cancelled cheque • bank statement/passbook <p>Additional Document</p> <ul style="list-style-type: none"> • Copy of the Balance sheets for the last 2 financial years • Copy of latest share holding pattern • UBO Declaration with PAN & POA and Photo for holders >10% holding • Photograph, POI, POA, PAN and DIN numbers of all directors as well as Authorized signatories • Copy of the Memorandum and Articles of Association and Certificate of Incorporation • Copy of the Board Resolution • Authorized signatories list with specimen signatures • List of Director

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3	SMS Alerts from CDSL	Terms And Conditions-cum-Registration / Modication Form for receiving SMS Alerts from CDSL Declaration for opening Demat Account along with acceptance of KYC Document Booklet for SMS and email alerts.	18-19 20

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Important Instructions:

A) Fields marked with '*' are mandatory fields.

B) Tick (✓) wherever applicable.

C) Please fill the date in DD-MM-YYYY format.

D) Please fill the form in English and in BLOCK letters.

E) KYC number of applicant in mandatory.

F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

G) List of two character ISO 3166 country codes is available at the end.

H) Please read section wise detailed guidelines / instructions at the end.

I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

1. ENTITY DETAILS* (Please refer to instruction A at the end)☐ Name _____Entity Constitution Type* ☐ Others (Specify) _____ (Please refer instruction B at the end)Date of Incorporation / Formation* - - Date of Commencement of Business - - Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country PAN ☐ Form 60 furnished Registration No. (e.g. CIN) TIN / GST Registration No. **2. PROOF OF IDENTITY (Pol)* (Please refer to instruction B at the end)**☐ Officially valid document(s) in receipt of person authorised to transact☐ Certificate of Incorporation / Formation ☐ Registration Certificate No. ☐ Memorandum and Articles of Association☐ Partnership Deed☐ Trust Deed☐ Resolution of Board / Managing Committee☐ Power of Attorney granted to its manager, officers or employees to transact on its behalf☐ Activity Proof - 1 (For Sole Proprietorship Only)☐ Activity proof - 2 (For Sole Proprietorship Only)**3. ADDRESS* (Please refer to instruction C at the end)**☐ 3.1 Registered Office Address / Place of business / Correspondence Address*Proof of Address* ☐ Certificate of Incorporation // Formation ☐ Registration Certificate ☐ Other Document

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ Pin / Post Code* State / U. T Code* _____ ISO 3166 Country Code* _____☐ 3.2 Local Address in the India (if different from above)* / Permanent Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

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

4. CONTACT DETAILS (All communications will be sent to Mobile number / Email ID provided) (Please refer to instruction D at the end)

Tel. (Off)	<input type="text"/>	Fax	<input type="text"/>
Mobile	<input type="text"/>	Email ID	<input type="text"/>
Mobile	<input type="text"/>	Email ID	<input type="text"/>

5. NUMBER OF RELATED PERSONS **Please refer to instruction E at the end)**

Tel. (Off)	<input type="text"/>	Fax	<input type="text"/>
Mobile	<input type="text"/>	Email ID	<input type="text"/>
Mobile	<input type="text"/>	Email ID	<input type="text"/>

6. REMARKS (if any)

<input type="text"/>
<input type="text"/>

7. APPLICANT DECLARATION (Please refer to instruction G at the end)

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/Email address.

Date : - -

Place :



(Signature / Thumb Impression of Authorised Person (s))

8. 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
Emp Name
Emp Code
Emp Designation
Emp Branch

Name **Spark PWM Private Limited**

Code **I N 5 0 7 6**

(Institution Stamp)

Employee Signature

A Certification / Guidelines for filing Entity Dealers Section**1 Entity Constitution Type**

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

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity [Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address (PoA) section

- 1 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

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

E Clarification / Guidelines for filling 'Related Person Details' section**1 Personal Details**

- The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
- Regulated Entity(ies) may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

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

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

State / U.T.	Code	State / U.T.	Code	State / U.T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chhattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List Of Iso 3166 Two Digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Domestic Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AO	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	ES SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	EK	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	FT	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	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	SJ
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	NR	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 Islands	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	Hong Kong	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	UM
						Outlying Islands	
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	KO	Qatar	QA	Virgin Islands, British	VG
Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, 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
Curaçao	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		

1. Name																					PHOTOGRAPH Please affix your recent passport size Photograph and sign across it	
2. Relationship with Applicant (i.e. promoters, whole time directors etc)																						
3a. PAN											3b. DIN											
3c. Aadhaar (UID) Number																						
4. Residence / Registered Address																						
City/town/village.											Pin Code:											
State:											Country:											

1. Name																					PHOTOGRAPH Please affix your recent passport size Photograph and sign across it	
2. Relationship with Applicant (i.e. promoters, whole time directors etc)																						
3a. PAN											3b. DIN											
3c. Aadhaar (UID) Number																						
4. Residence / Registered Address																						
City/town/village.											Pin Code:											
State:											Country:											

1. Name																					PHOTOGRAPH Please affix your recent passport size Photograph and sign across it	
2. Relationship with Applicant (i.e. promoters, whole time directors etc)																						
3a. PAN											3b. DIN											
3c. Aadhaar (UID) Number																						
4. Residence / Registered Address																						
City/town/village.											Pin Code:											
State:											Country:											

1. Name																					PHOTOGRAPH Please affix your recent passport size Photograph and sign across it	
2. Relationship with Applicant (i.e. promoters, whole time directors etc)																						
3a. PAN											3b. DIN											
3c. Aadhaar (UID) Number																						
4. Residence / Registered Address																						
City/town/village.											Pin Code:											
State:											Country:											



First holder Signature

Date DD MM YY YY

Important Instructions:

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

- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update delete request)

Note :- In case of additional related persons (Director, partner, promoters, trustee, authorized signatory, etc.), kindly attach Annexure A2 for each.**1. DETAILS OF RELATED PERSON***

- ☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*)

If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

- Related Person Type* ☐ Director Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)**1.1 PERSONAL DETAILS**

	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"/> <input type="text"/> <input type="text"/>			
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)		
PAN	<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		

1.2 PROOF OF IDENTITY AND ADDRESS* (please refer instruction E 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 (anyone of the following OVDs)

- ☐ A - Passport Number
- ☐ B - Voter ID Card
- ☐ C - Driving Licence
- ☐ D - NREGA Job Card
- ☐ E - National Population Register Letter G- Others _____
- ☐ F - Proof of Possession of Aadhaar **XXXXXXXXXX**
- II ☐ E-KYC Authentication **XXXXXXXXXX**
- III ☐ Offline verification of Aadhaar **XXXXXXXXXX**

PHOTO

Photo across signature / Thumb Impression

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

1.3 CURRENT ADDRESS DETAILS (please refer instruction E at the end)

<input type="checkbox"/> Same as above mentioned address (In such cases address details as below need not be provided)																	
I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)																	
<input type="checkbox"/>	A - Passport Number	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>															
<input type="checkbox"/>	B - Voter ID Card	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>															
<input type="checkbox"/>	C - Driving Licence	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>															
<input type="checkbox"/>	D - NREGA Job Card	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>															
<input type="checkbox"/>	E - National Population Register Letter	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>															
<input type="checkbox"/>	F - Proof of Possession of Aadhaar	<table border="1"><tr><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	X	X	X	X	X	X	X	X							
X	X	X	X	X	X	X	X										
II <input type="checkbox"/>	E-KYC Authentication	<table border="1"><tr><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	X	X	X	X	X	X	X	X							
X	X	X	X	X	X	X	X										
III <input type="checkbox"/>	Offline verification of Aadhaar	<table border="1"><tr><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td>X</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	X	X	X	X	X	X	X	X							
X	X	X	X	X	X	X	X										
G- Others_____																	
IV <input type="checkbox"/>	Deemed PoA																
V <input type="checkbox"/>	Self Declaration																
Address																	
Line 1*																	
Line 2																	
Line 3																	
City / Town / Village*																	
District*	Pin / Post Code*	State / U.T Code*															
		ISO 3166 Country Code*															

1.4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (please refer instruction E at the end)

[illegible]

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/Email address.

Signature / Thumb Impression of Applicant

Date : DD - MM YY Place :

☐ 3. 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 ☐ Vidio Based KYC

KYC VARIFICATION CARRIED OUT BY	INSTITUTIONS DETAILS
---------------------------------	----------------------

INSTITUTIONS DETAILS

Date

--	--

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Name **Spark PWM Private Limited**

Code

I	N	5	0	7	6
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[illegible][illegible][illegible]

Other Details

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"/> Others (Please specify) _____
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information	

Details of Politically Exposed Persons (PEP) / Related to Politically Exposed Person (RPEP)

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐ Yes ☐ No. ☐ None If Yes, please provide details as under:

Name of Holder _____

PAN of the Holder _____

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

SMS Alert & Trust Facility

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

Option for Issue of Delivery Instruction Booklet (DIS Booklet)

Mandatory to select any one option

☐ I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

☐ I/We do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at a later date

CAS Mode : ☐ No ☐ PH ☐ Electronic or PH

Communication Preference

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

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



First Authorised Signature



Second Authorised Signature



Third Authorised Signature

Other Details - For Non Individual

Gross annual income details p.a.*

OR

Net-worth in Rs

(Net worth should not be older than 1 year)

- ☐ 1. Below Rs.1 lakh ☐ 2. Between Rs.1 lakh to Rs.5 lakhs ☐ 3. Between Rs.5 lakhs to Rs.10 lakhs
☐ 4. Between Rs.10 lakhs to Rs.25 lakhs ☐ 5. Between Rs.25 lakhs to Rs.1 crore ☐ 6. More than Rs.1 crore

as on

Occupation

- ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business
☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student
☐ Professional ☐ Farmer ☐ Others (Please specify)

Is the entity involved/providing any of the following services

- ☐ For Foreign Exchange / Money Changer Services ☐ YES ☐ NO
☐ Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
☐ Money Lending / Pawning ☐ YES ☐ NO

Any other information

- I /We 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

DP Account(s) Details

In case, client does not have a DP Account, this column may not be filled in.

Depository Name: ☐ CDSL DP ID Depository Participant Name

Beneficiary Name Beneficiary ID (BO ID)

Please tick mark the additional applicable category to you

- ☐ Non-resident client
☐ High net-worth client (having annual income + networth of more than Rs. 1 crore)
☐ *Trust, Charities, NGOs / NPO and organizations receiving donations
Do you receive foreign contribution or donation from foreign sources ? YES ☐ NO ☐

*Note: *In order to receive foreign contribution or donation from foreign sources, entities such as NGO, NPO, Charitable Trusts, Societies are required to be registered under Section 6(1) of Foreign Contribution Regulation Act, 2010. As per FCRA foreign contributions cannot be invested in Mutual Funds and other speculative investment.*

- ☐ Company having close family shareholdings or beneficial ownership
☐ 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

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






First Authorised Signature

Bank Account(s) Details**Default**

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

Client Declaration

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
 2. I/We conrm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
 3. I/We further conrm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on s designated website, if any.
 4. I/We hereby submit self-certied proof(s) with my/our due consent for opening the above account with Spark PWM.
 5. I am hereby submitting self-certied Aadhar copy with my due consent for opening the above said account with Spark PWM.
 6. 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

	Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink)

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 Signatories

(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 'F8' inside.

(Signature of First Holder)

A rectangular box containing a stylized blue pen icon with the text 'S5' inside.

(Signature of Second Holder)

A rectangular box containing a stylized blue pen icon with the text 'T5' inside.

(Signature of Third Holder)

DEPOSITORY CHARGES- SCHEDULE. 'A'

Description	<input type="checkbox"/> Individual Account	<input type="checkbox"/> Non-Individual 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
Account Opening Charges	Nil	Nil
2. Market/Off Market Transfers/Inter Depository		
a) Purchase (Credit in)	Nil	Nil
b) Market Sell Within Spark Group	Rs.10/- per transaction	Rs.10/- Per Transaction
c) Off Market 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
e) Mutual fund transactions on debit side	Rs.07/- Per Transaction	Rs.07/- Per Transaction
3. Pledge/ Hypothecation		
a) Creation Setup /Creation Acceptance /Closure Set up/ Closure Acceptance	Rs.20/- Per Transaction	Rs.20/- Per Transaction
Margine Pledge/Release of Margin Pledge	Rs.10/- Per Transaction	Rs.10/- Per Transaction
Margin Repledge	Rs.5/- Per Transaction	Rs.5/- Per Transaction
b) Invocation	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
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
Redemption	Rs.5/- Per Transaction	Rs.5/- Per Transaction
6. Account Closing	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.

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 on-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.



First Authorised Signature



Second Authorised Signature



Third Authorised Signature

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																	
	(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: _____

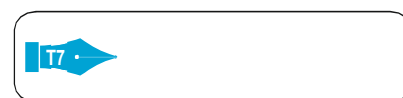
Email ID: _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)



(Signature of First Holder)



(Signature of Second Holder)



(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 :

First Authorised Signature

Second Authorised Signature

Third Authorised Signature

Request for SMS and E-mail Alerts from Depository

Dear Sir,

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

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

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

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

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

Client Name _____

 F12

(Signature of First Holder)

 S9

(Signature of Second Holder)

 T9

(Signature of Third Holder)

FATCA & CRS Declaration <i>(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)</i>			
TAX RESIDENCE DECLARATION <i>(tick any one, as applicable)</i>			
<input type="checkbox"/> Entity is a tax resident of India and not resident of any other country OR			
<input type="checkbox"/> Entity is a tax resident of the country/ies declared in the table below			
Please indicate ALL the countries in which you are a resident for tax purposes and the associated Tax ID No. below			
Country	Tax Identification Number [%]	Identification Type (TIN or Other [%] , please specify)	
[%] In case Tax Identification Number is not available, kindly provide functional equivalent It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation & attach this to the form			
In case the Entity's Country of Incorporation/ Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here: _____ <i>(Refer 3(viii) of Part D)</i>			
PART A (to be filled by Financial Institutions or Direct Reporting Non-Financial Entity - NFEs)			
Entity is a <input type="checkbox"/> Financial Institution ^{*1} OR <input type="checkbox"/> Direct reporting NFE ²	GIIN	Name of sponsoring entity	
		<i>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name above.</i>	
In case GIIN not available, please tick any one below (as applicable) <i>(options available only for Financial Institutions)</i> <input type="checkbox"/> Applied for <input type="checkbox"/> Not required to apply for <i>(Please specify sub-category ³ _____)</i> <i>Please provide with Form W8-BEN-E, duly filled in</i> <input type="checkbox"/> Not obtained – Non-participating FIOR			
<i>*If the entity is a FI and a tax resident outside India, please fill the below:</i>			
Are you from CRS Jurisdiction		<input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If No, please answer the next question)</i>	
<i>Please refer to List of Signatories to CRS @http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/)</i>			
Are you an Investment Entity <i>(Refer 1(iii) of Part D)</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If Yes, please answer the next question)</i>	
Is the entity managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity and the gross income of the entity is primarily attributable to investing, re-investing, or trading in financial assets <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(If Yes, please additionally fill Part C)</i>			
PART B (to be filled by NFEs other than Direct Reporting NFEs; please fill any one as appropriate)			
<input type="checkbox"/> Publicly traded company ⁴ <i>(i.e. a company whose shares are regularly traded on an established securities market)</i>		<input type="checkbox"/> Related entity of a publicly traded company ⁵ <input type="checkbox"/> <i>Subsidiary</i> <input type="checkbox"/> <i>Controlled</i>	
Name of the stock exchange <i>(Please specify any one stock exchange on which the stock is traded)</i>		Name of such publicly traded company	
		Name of the stock exchange (any one)	
<input type="checkbox"/> Active NFE ⁶		<input type="checkbox"/> Passive NFE ⁷	
Sub-category <i>((Refer 2c of Part D))</i>		Nature of Business	
Nature of Business			

¹ Refer 1 of Part D in the Information booklet

² Refer 3(vii) of Part D in the Information booklet

³ Refer 1A. of Part D in the Information booklet

⁴ Refer 2a of Part D in the Information booklet

⁵ Refer 2b of Part D in the Information booklet

⁶ Refer 2c of Part D in the Information booklet

⁷ Refer 3(ii) of Part D in the Information booklet

PART C (to be filled only by Passive NFEs)			
Please list below the details of each controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling persons (Please attach additional sheets if necessary):			
	Controlling Person 1	Controlling Person 2	Controlling Person 3
Name			
Country of tax residency*			
Address (include City State, Country & Pin code)			
Telephone/ Mobile No. (with ISD code)			
TIN (or functional equivalent for each country identified in relation to each person [%])			
Identification Type (TIN or Other, please specify)			
Controlling person type code ⁸			
Additional details to be filled below ONLY by controlling persons having tax residency/permanent residency/citizenship in any country other than India including green card holders:			
	Controlling Person 1	Controlling Person 2	Controlling Person 3
Customer ID (if allotted)			
Gender (Male, Female, Other)			
City of Birth			
Country of birth			
Occupation Type (Service, Business, Others)			
Nationality			
PAN			
Father's Name (if PAN not available)			
Date of Birth			
Address type for address mentioned above (Residence or business, Residential, Business, Registered office)			
Identification Type (Documents submitted as proof of identity of the individual) [@]			
Identification Number (Mandatory if PAN or Aadhaar number is not reported)			
Spouse's name (optional)			
Aadhaar Number (optional)			

*To include US, where controlling person is a US citizen or green card holder

% In case Tax Identification Number is not available, kindly provide functional equivalent

@ Permissible values are:

- | | | | |
|-------------------|--------------------|------------------|-----------|
| • Passport | • Election ID card | • PAN Card | • ID Card |
| • Driving License | • UIDAI Letter | • NREGA Job card | • Others |

⁸ Refer 3(iv) (A) of Part D in the Information booklet

CERTIFICATION

Under penalty of perjury, I/we certify that:

- I/We understand that Spark PWM is relying on this information for the purpose of determining the status of the account holder named above in compliance with FATCA/CRS. The Spark Group is not able to offer any tax advice on FATCA or CRS or its impact on the account holder. I/we shall seek advice from a professional tax advisor for any tax questions.
- I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- I/We agree that as may be required by domestic regulators/tax authorities, Spark PWM may also be required to report, reportable details to CBDT or other authorities/agencies or close or suspend my account, as appropriate.
- I/We have understood the information requirements of this Form (read along with the FATCA/CRS Instructions and definitions in Part D to this Form) and hereby confirm that the information provided by me/us on this Form including the taxpayer identification number is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA, Terms and Conditions below and hereby accept the same.



First Authorised Signature



Second Authorised Signature



Third Authorised Signature

Date:

Place: _____

This space is intentionally kept blank

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.

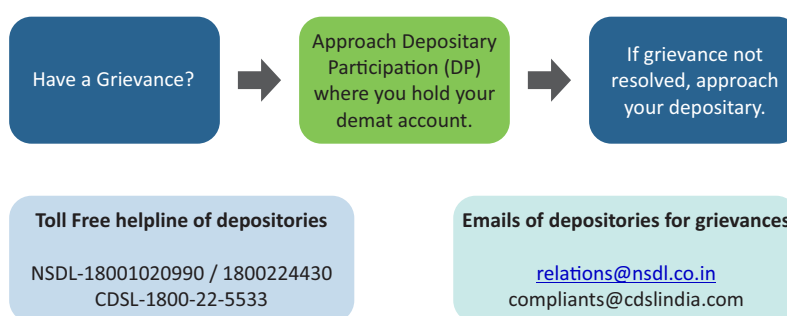
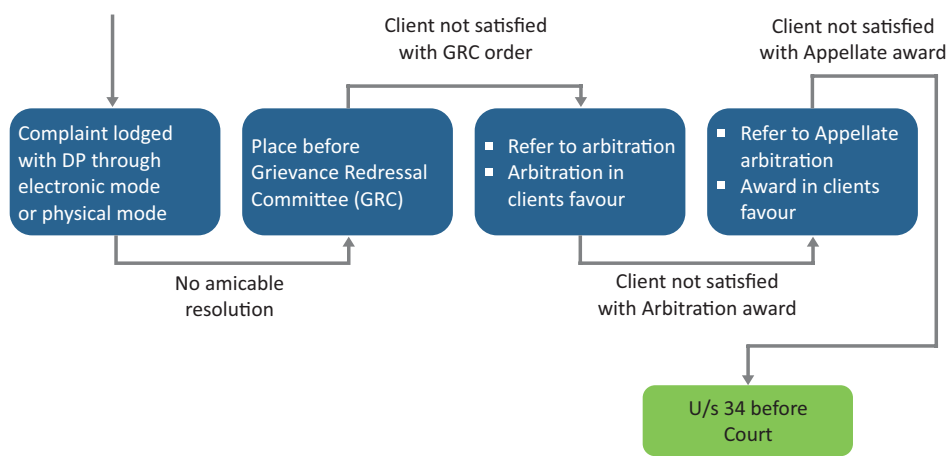
Point 3(Arbitration proceedings)¹⁰:

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



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