





KNOW YOUR CLIENT (KYC)
Application Form – For Individual

WealthMills Securities (P) Ltd.

Acknowledgement No.

New CHANGE REQUEST (Please tick v the appropriate)
Please fill the form in ENGLISH and in BLOCK LETTERS

A) IDENTITY DETAILS

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

PHOTOGRAPH
Please affix your recent colour passport size photograph.
Sign across photograph

B) ADDRESS DETAILS

1. Residence / Correspondence Address: Correspondence Address Residence Address
City / Town / Village PIN Code
State Country
2. Specify the Proof of Address submitted for Residence / Correspondence Address:
3. Contact Details: Tel. (Off.) Fax No. Tel. (Res.) Mobile No. E-mail ID
4. Permanent Address (If different from above. Mandatory for Non-Resident Applicant to specify overseas address)
City/ Town / Village PIN Code
State Country

C) DECLARATION

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

Place: Date:

Signature of the Applicant

D) FOR OFFICE ONLY

IPV Done on date

(Originals verified) Self Certified Document copies received

(Attested) True copies of documents received Main Intermediary

Seal Stamp of Intermediary should contain
Staff Name:
Designation:
Name of Organization:
Signature:
Date:

Seal Stamp of Intermediary should contain
Staff Name:
Designation:
Name of Organization:
Signature:
Date:



**OTHER KYC DETAILS FOR TRADING ACCOUNT (THIS DOCUMENT IS MANDATORY)**

**KRA CONFIRMATION**

I have already done my KYC KRA registration/documentation through a SEBI registered intermediary  Yes  No

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

**BANK AND DEMAT ACCOUNT (DETAILS)**

**Bank Account Details:** Name of Bank: \_\_\_\_\_ Bank Account No.:

Type of Account:  Cust. ID.:  MICR Code

IFSC Code:

Branch Address: \_\_\_\_\_

**Depository Account Details1:** Name of DP: \_\_\_\_\_ Name of Beneficiary: \_\_\_\_\_

DP Name (NSDL/CDSL): \_\_\_\_\_ DP ID:  Beneficiary ID (BO ID):

**Depository Account Details2:** Name of DP: \_\_\_\_\_ Name of Beneficiary: \_\_\_\_\_

DP Name (NSDL/CDSL): \_\_\_\_\_ DP ID:  Beneficiary ID (BO ID):

**OTHER ADDITIONAL DETAILS**

- Whether you wish to receive physical contract note or Electronic Contract Note (please tick) :  Physical  ECN
- Specify your Email id, for ECN: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/wireless technology (please tick) :  Yes  No
- Number of years of Investment/Trading Experience: \_\_\_\_\_ Any other information: \_\_\_\_\_
- Income Range per Annum: Rs.  <1 Lac  1 to 5 Lac  5 to 10 Lac  10 to 25 Lac  More than 25 Lac **OR**
- Net worth as on (date)  (Optional) (Net worth should not be older than 1 year) Rs. \_\_\_\_\_

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

**DETAILS THROUGH SUB-BROKERS AND OTHER STOCK BROKER**

- Whether client is dealing through the sub-broker,  Yes  No (pl. tick). If Yes, provide the following details:  
Sub-broker's Name: \_\_\_\_\_ SEBI Reg. No.: \_\_\_\_\_ Ph: \_\_\_\_\_  
Registered Off. Add.: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_
- Whether dealing with any other stock broker/sub-broker(in case dealing with multiple stock brokers/sub-brokers)  Yes  No.(If Yes, provide details of all)  
Name of Stock Broker: \_\_\_\_\_ Exchange: \_\_\_\_\_  
Name of Sub-Broker, if any: \_\_\_\_\_ Client Code: \_\_\_\_\_  
Details of disputes/dues pending from/to such stock broker/sub-broker: \_\_\_\_\_



**TARIFF SHEET**


**CASH SEGMENT**

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

**Other Terms and Conditions:**

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

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

  
 Signature of the Applicant

**NOMINATION DETAILS (FOR TRADING ACCOUNT)**

I/We wish to nominate  I/We do not wish to nominate  Name of Nominee: \_\_\_\_\_

Relationship with the Nominee: \_\_\_\_\_ PAN of Nominee: (if available)

DOB of Nominee:

Address of the Nominee: \_\_\_\_\_

Phone No.: of Nominee: \_\_\_\_\_ if, nominee is minor, please mention detail of guardian:

Name of Guardian \_\_\_\_\_ Phone No. of Guardian \_\_\_\_\_

Address of Guardian \_\_\_\_\_

Signature of Guardian \_\_\_\_\_

**Witness (Only applicable incase the account holder has made nomination)**

1. Name \_\_\_\_\_


2. Name \_\_\_\_\_

Address \_\_\_\_\_

Address \_\_\_\_\_

Signature \_\_\_\_\_

Signature \_\_\_\_\_

Signature 



**FATCA-CRS Declaration Form Individual**

Details under FATCA and CRS

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

**Primary Applicant**

- 1) Name
- 2) Address For Tax Purposes  Communication  Permanent  Other (If Other, Please fill below)
- 3) Other Address   
 Landmark   
 Pin code  State  County
- 4) Address Type (a)  Resident (b)  Business (c)  Registered Office
- 5) (a) Pan  (b) Nationality
- 6) Father's Name
- 7) City of Birth
- 8) Country of Birth
- 9) Identification Type and Identification Number (Documents submitted as proof of identity of the individual): Name of the document submitted \_\_\_\_\_ Identification number \_\_\_\_\_
- 10) Please tick the applicable tax resident declaration: (Any one)  
 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

Country	Tax Identification	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 No. is not available, kindly provide functional equivalents

permissible documents are \* Passport \* Election ID Card \* PAN Card \* ID Card \* Driving License \* UIDAI Card \* NREGA Job Card \* Others

**FATCA-CRA Certification**

I have understood the information requirements of this Form (and Terms & Conditions) and hereby confirm that the information provided by me on this Form is true, correct, and complete and hereby accept the same.

Signature

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

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

**Customer Declaration (Applicable for all customers):**

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

Signature 

vi. **Aadhaar verification & Authentication:**

I hereby provide my consent to WealthMills Securities Private Limited for collecting, storing, using, validating, authenticating and updating my Aadhaar number against my PAN in all investment transactions through WealthMills Securities Private Limited as an intermediary regulated by SEBI, IRDAI & PFRDA. This is to comply with Aadhaar Act, 2016 and with PMLA requirements. WealthMills Securities Private Limited has informed me and I hereby give my consent to update my Aadhaar number in the account opened with WealthMills Securities Private Limited and share the same with Exchange, KRA, CERSAI and with any other Regulatory Agencies (as per requirement or on demand) and also with Asset Management Companies of mutual funds registered with SEBI and their Registrar and Transfer Agents (RTA) for the purpose of updating the same in my/our existing folios or when I transact in a mutual fund product or as per requirements of law.

Signature 

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

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

Date:

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

Dear Sir/Madam,

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

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

Signature 

Name of Applicant