

**Non-Individual**

# **SPARK PWM PRIVATE LIMITED**

(Formerly Known as Spark Family Office and Investment Advisors (India) Private Limited)

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

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

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

**Section to be updated by Operations Team**

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

<b>For DIRECT CLIENT Accounts</b>	<b>ARM</b>	<b>SRM</b>	<b>Dealer</b>	<b>CSO</b>
<b>Employee Code</b>				
<b>Employee Name</b>				

**To be filled by Operations Team**

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

Services Offered	Depository Services	Broking Services
<b>Services Offered by (Company Name)</b>	Spark Capital Advisors (India) Private Limited	Spark PWM Private Limited (Formerly known as Spark Family Office and Investment Advisors (India) Private Limited)
<b>SEBI Registration No.</b>	IN-DP-CDSL-453-2020	INZ000285135
<b>Membership</b>	CDSL	Trading Member of NSE & BSE
<b>Corporate Identity Number:</b>	U67190TN1998PTC039818	U93000TN2012PTC086696
<b>Registered Address</b>	No. 1,3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai 600 020.	No. 1,3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai 600 020.
<b>Corporate Office</b>		Unit No. 1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai - 400 093
<b>Contact No.</b>	+91 44 6925 0000	+91 22 6291 6720
<b>Customer Care</b>	+91 22 6291 6700	+91 22 6291 6735
<b>Website</b>	<a href="http://www.sparkcapital.in">www.sparkcapital.in</a>	<a href="http://www.sparkadvisors.in">www.sparkadvisors.in</a>
<b>Compliance Officer</b>	Vilma Mathias Gangahar	Vilma Mathias Gangahar
<b>Compliance Officer Contact No.</b>	+91 22 6291 6740	+91 22 6291 6740
<b>Compliance Officer Email Id</b>	<a href="mailto:dp.compliance@sparkcapital.in">dp.compliance@sparkcapital.in</a>	<a href="mailto:pwm.compliance@sparkcapital.in">pwm.compliance@sparkcapital.in</a>
<b>Investor Grievance</b>	<a href="mailto:dpgrievances@sparkcapital.in">dpgrievances@sparkcapital.in</a>	<a href="mailto:grievances@sparkcapital.in">grievances@sparkcapital.in</a>
<b>Any Grievance please contact us</b>	+91 22 6291 6720	+91 22 6291 6717

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

<b>Email Id</b>	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	NSE: <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> BSE: <a href="mailto:is@bseindia.com">is@bseindia.com</a>
<b>Contact No.</b>	+91 22 2305 3333	NSE: +91 22 26598190 BSE: +91 22 22728138

In absence of response/complaint not addressed to your satisfaction, you may lodge a complaint with CDSL at <https://www.cdslindia.com/Footer/grievances.aspx> or NSE at <https://investorhelpline.nseindia.com/NICEPLUS/> or BSE at <https://bseindia.com/ecomplaint/frmlInvestorHome.aspx>. and SEBI at <https://scores.gov.in/scores/Welcome.html> 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	

**INDEX**

**FOR TRADING AND CDSL DEMAT ACCOUNT**

Sr. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY SECTION IN KYC AS PRESCRIBED BY SEBI, DEPOSITORIES AND EXCHANGE</b>			
1	Account Opening Form - Trading & De mat Account related details	CKYC Form - Document captures the basic information about the Client & FATCA Document captures the additional information about the Client relevant to Trading and Demat account	1-8 9-13
	Financial Status and other details	Financial Status and other details as per Prevention of Money Laundering Act, 2002 (PMLA)	14
2	Tariff Sheet- De mat	Document detailing the De mat tariff/charges	15-16
3	Tariff Sheet- Equity	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	17
		Declaration for opening Trading and Demat Account along with acceptance of KYC Document Booklet	18
<b>VOLUNTARY SECTION IN KYC</b>			
4	DDPI	Demat Debit & Pledge Instruction	19
5	Voluntary Authorizations	a. Authorisation by Client 20-21 b. For Running Account maintenance c. For receiving ECN and any documents / communications in electronic form from Stock Broker and Depository Participant d. For debiting various Depository charges e. For sharing of Data and Information	20-21
6	FATCA & CRS Declaration	Certificate of Foreign Status of Beneficial Owner for United State Tax with holding	22-24
7	SMS and E-mail alerts	Request for SMS and E-mail alerts from Stock Exchange/s and Stock Broker	25
8	Form MFSS Consent	Consent letter for dealing in Mutual Funds (BSE Star MF)	26
9	Additional Document	Additional documents to be obtained for Non-Individuals, over & above the Proof of Identity & Proof of Address, as mentioned	27
10	Investor Charter for Stock Broker	Investor Charter for Stock Broker	28-32
11	Investor Charter for Depository Participant	Investor Charter for Depository Participant	33-38
<b>FOR EQUITY TRADING AND CDSL DEMAT ACCOUNT (PROVIDED THROUGH SEPARATE HANDBOOK)</b>			
1	Instructions Checklist	Instructions and Checklist for filling the KYC form	1-2
2	Instructions for CKYC	Instructions for filling CKYC form	3-5
3	Instructions for FATCA	Instructions for filling FATCA form	6
4	Anti-Money Laundering (AML)	Understanding for clients about Anti Money Laundering (AML) provisions	7
5	Rights and Obligations Stock Broker	Document stating the Rights & Obligations of Stock Broker / Authorized person and clients for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	8-12
6	Risk Disclosure Documents (RDD)	Document detailing risks associated with dealing in the securities market	13-15
7	Guidance Note	Document detailing do's and don'ts for trading on exchange for the education of the investors	16
8	Policies and Procedures	Document describing significant policies and procedures of the Stock Broker	17-19
9	Rights & Obligations - Demat	Rights & Obligations of Beneficial Owner & Depository Participant as prescribed by SEBI & Depositories	20-21
10	Terms and Conditions (Voluntary)	General Terms & Conditions w.r.t. Trading	22-31
11	Terms and Conditions for SMS and E-mail alerts	General Terms & Conditions w.r.t. SMS and E-mail alerts from Stock Exchanges and Stock Brokers	32-34
12	Terms and Conditions for SMS alerts from CDSL	Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]	35-36
13	Terms and Conditions for TRUST service	Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL	37-38
14	General Information	General Information about Depository Participant - Demat	80



**Important Instructions:**

- A) Fields marked with <sup>1</sup>\* 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\*  DD -  MM -  YY  YY Date of Commencement of Business  DD -  MM -  YY  YY

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 \_\_\_\_\_ Country \_\_\_\_\_

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 \_\_\_\_\_ Country \_\_\_\_\_

**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)**

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

- I/we hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we aware that I/we may be held liable for it.
- I/we hereby consent to receiving information from CVL KRA/Central KYC Registry through SMS/Email on the above registered number/Email address.
- I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/we hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom we have a business relationship for KYC purposes only.

Date :

Place :


---

 First holder Signature

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

Documents Received	<input type="checkbox"/> Certified Copies	<input type="checkbox"/> E-KYC code received from UIDAI	<input type="checkbox"/> Data received from Offline verification
	<input type="checkbox"/> Digital KYC Process	<input type="checkbox"/> Equivalent e-document	<input type="checkbox"/> Video Based KYC
<b>KYC VERIFICATION CARRIED OUT BY</b>	<b>INSTITUTIONS DETAILS</b>		
Date	<input type="text"/>	Name	<input type="text"/>
Emp Name	<input type="text"/>	Code	<input type="text"/>
Emp Code	<input type="text"/>	<div style="border: 1px solid gray; padding: 20px; height: 150px;"> <p>(Institution Stamp)</p> </div>	
Emp Designation	<input type="text"/>		
Emp Branch	<input type="text"/>		
<div style="border: 1px solid gray; padding: 20px; height: 70px;"> <p>Employee Signature</p> </div>			

**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.	
D - Private Limited Company	K - Artificial Liability Partnership	Q - Not Categorized
E - Public Limited Company	L - Public Sector Bank	R - Others
F - Society	M - Central / State Government Department or Agency	S - Foreign Portfolio Investors
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	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		

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

1. Name											<b>PHOTOGRAPH</b> 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											<b>PHOTOGRAPH</b> 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											<b>PHOTOGRAPH</b> 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											<b>PHOTOGRAPH</b> 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



Second holder Signature



Third holder Signature

**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' &amp; '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"/>
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="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
- F - Proof of Possession of Aadhaar
- II  E - E-KYC Authentication
- III  F - Offline verification of Aadhaar

**PHOTO****Address**

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State  City / Town / Village  Country

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

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)

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

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village

District\*  Pin / Post Code\*  State  Country

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

Tel. (Off)     Tel. (Res.)  -     Mobile  -

Email ID

**2. APPLICANT DECLARATION**

- I/we hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and/we under - take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we are aware that I/we may be held liable for it.
- I/we hereby consent to receiving information from CVL KRA/Central KYC Registry through SMS/Email on the above registered number/Email address.
- I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/we hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom we have a business relationship for KYC purposes only.

Date:   -   -     Place:

**Signature / Thumb Impression of Applicant**

**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**

Date

Emp Name

Emp Code

Emp Designation

Emp Branch

**INSTITUTIONS DETAILS**

Name

Code

**Employee Signature**

**(Institution Stamp)**

## ADDITIONAL KYC DETAILS FOR OPENING DEMAT ACCOUNT

### For New Demat Account with Spark Capital Advisors (India) Private Limited (SCA)

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

Please fill in english and in BLOCK letters with black ink

Application Form No. : \_\_\_\_\_

#### Details

To be filled by the Depository Participant

Date         DP Internal Reference No.

DP ID

Client ID

Type of account :  Non-Individual  Individual

I/We request you to open a demat account in my/our name as per following details:

UCC \_\_\_\_\_

Exchange Name \_\_\_\_\_

Exchange ID \_\_\_\_\_

PAN \_\_\_\_\_

UID \_\_\_\_\_

Sold / First Holder's Name	PAN										
	UID										
Second Holder's Name	PAN										
	UID										
Third Holder's Name	PAN										
	UID										

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

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., all though the account is opened in the name of the natural person, the name of the firm should be mentioned above.

### Type of account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Non-Individual	Type of Account (Please tick whichever is applicable) Status	Sub - Status
	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FPI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Others (specify) _____	To be filled by the DP
	SEBI Registration No. (If Applicable) _____ SEBI Registration date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
	RBI Registration No. (If Applicable) _____ RBI Approval date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____		

### Standing instructions

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end ( If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to receive dividend / interest directly to my bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clearing Member Details (To be filled by CMs only)	
Name of Stock Exchange _____	Name of CC / CH _____
Clearing Member Id _____	Trading member ID _____

### Other Details

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

### 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  I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST Stock Exchange Name/ID _____ Clearing Member Name _____ Clearing Member ID (Optional) _____	<input type="checkbox"/> yes <input type="checkbox"/> No
<b>Easi</b>	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**

Kindly confirm the manner of receiving DIS booklet

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



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  
YES NO

- 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

### Additional Details

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

Specify your Email Id, if applicable : \_\_\_\_\_

Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify) :  Yes  No (strike off, if not applicable)

Any other information :

### DP Account(s) Details

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

Depository Name:  NSDL  CDSL DP ID          Depository Participant Name \_\_\_\_\_

Beneficiary Name \_\_\_\_\_ Beneficiary ID (BO ID)

### 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: \_\_\_\_\_

### C. TRADING PREFERENCES

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

Exchanges	NSE & BSE				BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives

If you do not wish to trade in any of segments / Mutual Fund, please mention here \_\_\_\_\_

**(Strike off, if not applicable)**

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

#### Purpose of Trading

Hedging  Investment  Others (Specify) \_\_\_\_\_

#### GST Details

GST Registration No. : \_\_\_\_\_ GST Location : \_\_\_\_\_

#### Introducer Details

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer:  Authorized Person  Existing Client  Others, please specify : \_\_\_\_\_

Address of the Introducer : \_\_\_\_\_  
\_\_\_\_\_

AP / Client Code \_\_\_\_\_

Mob. No. / Tel. No. \_\_\_\_\_

Signature of the Introducer :  \_\_\_\_\_



### Bank Account(s) Details

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

### Bank Account(s) Details

#### Optional

Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current
Bank Name (through which transactions will be routed)	_____
Bank Account No.	_____
Branch Address	_____
	Pin _____
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 confirm 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 confirm 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 stock broker's designated website, if any.
4. I/We hereby submit self-certified Aadhaar copy(ies) with my/our due consent for opening the above account associated with my/our investment with Spark PWM.
5. Where the Client has Submitted any documents for the purpose of account opening, any change, to be updated within 30 days.

	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**

**DECLARATION BY PARTNERSHIP FIRM / UNREGISTERED TRUST**

Please refer to the trading account opened in the above name with Spark PWM Private Limited.

We acknowledge that a beneficiary account (DP Account) cannot be opened with a Depository Participant in the name and style of a partnership firm / unregistered trust as per regulations. In order to facilitate the smooth operations of the above trading account for the purpose of completing the share transfer obligations, pursuant to the trading operations, we hereby authorise Spark PWM Private Limited to recognize the beneficiary account no \_\_\_\_\_ with above mentioned depository having opened in the name of joint holders mentioned above who are the partners / trustees of the firm for the settlement of the obligations in relation for securities for trades done on Exchanges.

Further we acknowledge that we being partners of the above mentioned firm are responsible for the liabilities thereof. We shall advise you in writing for any change that take place in the constitution of the firm at any time in future.

**ONLY FOR HUF (DP Account will be opened in the name of HUF)**

**CERTIFIED TRUE COPY** of the following documents are required to be submitted, duly signed by **KARTA**

- Income Tax Returns** of HUF for the past 2 years. In case of Newly Formed HUF, provide Networth Certificate duly signed by C.A.
- Bank Passbook / Bank Statement of HUF for last 2 months.

Gross annual income range p.a.* OR Net-worth in Rs (Net worth should not be older than 1 year)	<input type="checkbox"/> 1. Below Rs. 1 Lakh <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs <input type="checkbox"/> 5. More than Rs.25 lakhs		
	_____ as on <span style="border: 1px solid black; padding: 2px;">DD</span> <span style="border: 1px solid black; padding: 2px;">MM</span> <span style="border: 1px solid black; padding: 2px;">YYYY</span>		
Signature	<b>P/1</b>		
Name	1 <sup>st</sup> holder	2 <sup>nd</sup> holder	3 <sup>rd</sup> holder

Place

Date

**IN CASE OF FIRMS, ASSOCIATION OF PERSONS, PARTNERSHIP FIRM, UNREGISTERED TRUST Please fill the below details**

**TYPE OF ACCOUNT** (Please whichever is applicable)

<b>Status</b>	<input type="checkbox"/> Body Corporate <input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Trust <input type="checkbox"/> Other (specify) _____
<b>Sub-Status</b> (To be filled by Modes)	<span style="border: 1px solid black; display: inline-block; width: 100%; height: 15px;"></span>

## FINANCIAL STATUS AND OTHER DETAILS

### a. Annual Income (Last 3 years from the date of the opening of this account)

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

#### 1 Year :

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> 1. Below Rs.1 lakh                    | <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs   | <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> 5. Between Rs.25 lakhs to Rs.1 crore | <input type="checkbox"/> 6. More than Rs.1 crore              |

#### 2<sup>nd</sup> Year :

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> 1. Below Rs.1 lakh                    | <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs   | <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> 5. Between Rs.25 lakhs to Rs.1 crore | <input type="checkbox"/> 6. More than Rs.1 crore              |

#### 3<sup>rd</sup> Year :

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> 1. Below Rs.1 lakh                    | <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs   | <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> 5. Between Rs.25 lakhs to Rs.1 crore | <input type="checkbox"/> 6. More than Rs.1 crore              |

### b. Networth Details (as on the date of account opening)

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> 1. Below Rs.1 lakh                    | <input type="checkbox"/> 2. Between Rs.1 lakh to Rs.5 lakhs   | <input type="checkbox"/> 3. Between Rs.5 lakhs to Rs.10 lakhs |
| <input type="checkbox"/> 4. Between Rs.10 lakhs to Rs.25 lakhs | <input type="checkbox"/> 5. Between Rs.25 lakhs to Rs.1 crore | <input type="checkbox"/> 6. More than Rs.1 crore              |

### C. 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

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

I wish to open a Regular Demat Account       I wish to open Basic Services Demat Account (BSDA)\*\* Applicable only for Individual Demat Account

Particulars	<input type="checkbox"/> Long Term Plan	<input type="checkbox"/> Annual Plan (Individual & Non-Individual)	<input type="checkbox"/> Non-Individual Plan
<b>1. Maintenance Charges (Regular Demat Account)</b>	Rs. 2,000/- for 4 years (for Individual(s)) No annual maintenance charges. <b>Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).</b>	Rs. 500/p.a. as Annual maintenance charges for Individual(s). <b>Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).</b>	Rs. 500/p.a. as Annual maintenance charges for Individual(s). <b>Additional Rs. 500 will be charged annually for Corporate accounts (Refer note below).</b>
<b>1.A. Maintenance Charges* (BSDA)</b>	Nil	Nil	Nil
<b>2. Market/Off Market Transfers/Inter Depository</b>			
<b>a) Purchase (Credit in)</b>	Nil	Nil	Nil
<b>b) Market Sell Within Spark Group</b>	Rs.10/- per transaction	0.02% of the transaction value or Rs.20/- per transaction, whichever is higher	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher
<b>c) Off Market Transaction</b>	Rs.10/- per transaction	0.03% of the transaction value or Rs.20/- per transaction, whichever is higher	0.03% of the transaction value or Rs.20/- per transaction, whichever is higher
<b>d) Sell (Debit from) target other than 2 b) and c above</b>	Rs.40/- per transaction	0.03% of the transaction value or Rs.40/- per transaction, whichever is higher	0.03% of the transaction value or Rs.40/- per transaction, whichever is higher
<b>e) Mutual fund transactions on debit side</b>	Rs. 7 /- per transaction	Rs. 7 /- per transaction	Rs. 7 /- per transaction
<b>3. Pledge/ Hypothecation</b>			
<b>a) Creation Setup /Creation Acceptance /Closure Set up/ Closure Acceptance</b>	Rs.30/- per transaction	0.02% of the transaction value or Rs.50/- per transaction, whichever is higher	0.02% of the transaction value or Rs.50/- per transaction, whichever is higher
<b>b) Invocation</b>	Rs.25/- per transaction	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher	0.02% of the transaction value or Rs.25/- per transaction, whichever is higher
<b>4. Demat Charges</b>	Rs. 2.00 Per Certificate+ Rs.30/- for Postage	Rs. 2.00 Per Certificate + Rs.30/- for Postage	Rs. 2.00 Per Certificate + Rs.30/- for Postage
<b>5. Remat Charges</b>	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs 10/- per request) + Rs. 30/- for Postage	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request)+ Rs. 30/- for Postage	Rs.10/- per 100 securities or part thereof (Subject to minimum Rs. 10/- per request)+ Rs. 30/- for Postage
<b>6. Account Closing</b>	Nil	Nil	Nil

**Terms & Conditions:**

- Spark Capital Advisors (India) 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 Capital Advisors (India) 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.

To be continued...

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

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

- Basic Service Demat Account (BSDA) is a special type of DEMAT account that was introduced in 2012 by SEBI (Securities and Exchange Board of India). It requires much less of an investment compared to a general Demat Account and is mainly intended for small investors who are not keen on regularly investing in Stocks, ETFs, mutual funds, etc. It also reduces the burden on investors who have a DEMAT account with smaller portfolios of below Rs. 2,00,000 Lakhs.

### **What is the eligibility criteria of BSDA?**

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

In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard Program Demat accounts i.e. Annual Plan (Individual) (DDPI) without further reference to the respective customers.

In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.

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

- I. No AMC shall be levied, if the value of holding is up to Rs. 50,000.
- II. For the value of holding from Rs 50,001 to Rs 200,000, AMC not exceeding Rs 100 may be charged.
- III. If the value of holding in such BSDA exceeds Rs. 200,000 at any date, the DPs may levy charges as applicable to regular accounts (non-BSDA) from that date onwards

## **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-reta basis. Types of accounts falling under this category will be - Body Corporate/ FI/ FII/ Mutual Fund /Trust/ Bank/ QFI. Inclusion or exclusion in these client types will be subject to change as per guidelines received from CDSL.**
- The value of the transaction(s) will be in accordance with rates provided by CDSL.
- The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- The Client authorizes **Spark PWM Private Limited (Spark PWM)** (Formerly known as Spark Family Office and Investment Advisors (India) Private Limited), to recover the DP charges on various transactions from time to time from the regular shares dealing account/ depository account/ any other account with Spark Capital Advisors (India) Private Limited (SCA), 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 is/ are aware that the documents as may be accessed by other entities in that case the confidentiality/ secrecy of the login name and password is compromised.
- 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 SCA in writing if there is any change in my/ our registered e-mail ID and/ or contact details.
- Either Party i.e. SCA 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, SCA shall not be held responsible. However, in case, SCA 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

## Know Your Tariff Plan - Equity / Derivatives Trading

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

BROKERAGE DETAILS <sup>#</sup>								
	NSE/BSE Cash Segment		NSE Futures		NSE Options			
	Max	Min (Paisa)	Max	Min (Paisa)	Premium per lot (Rs)		Min Per Lot (Rs.)	
Delivery Brokerage	-	0.01	___ Index & ___ Stock	-	Index	Flat	per lot	-
Trading 1 <sup>st</sup> Leg	-	0.01	___ Index & ___ Stock	-	Stock	Flat	per lot	-
Trading 2 <sup>nd</sup> Leg	-	0.01	-	-		<b>Index (Rs)</b>	<b>Stock (Rs)</b>	
					Trading 1 <sup>st</sup> Leg			
					Trading 2 <sup>nd</sup> Leg			

# Indicative rate which may be subject to change

**Standard Brokerage Plan:**

Plan	Delivery Rate	Futures* and Intraday Cash	Options Premium Rate
Silver	0.50%	0.05%**	Stcok - 2.50% or Rs. 100 per lot Index - 2.50% or Rs. 50 per lot

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

Brokerage applicable for Liquid BEES is at the rate of 0.01 % on Value

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



First Authorised Signature

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

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)** (Formerly known as Spark Family Office and Investment Advisors(India) Private Limited) and /or depository account with **Spark Capital Advisors (India) Private Limited (SCA)** and I am 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. 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

## DEMAT DEBIT & PLEDGE INSTRUCTION

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

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

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

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

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

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

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

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

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

Depository Participant Name	Spark Capital Advisors (India) Private Limited
DPID CDSL	12090100
Client Account No.	

### Schedule B (Details of Stockbroker's Demat Account)

Account Type	Name of DP / CC	DP ID	Account No	CM BP ID
NSE POOL A/C NSDL	Stock Holding Corporation of India Limited	IN301330	22406772	IN520850
BSE POOL A/C NSDL	Stock Holding Corporation of India Limited	IN301330	22406836	IN667338
NSE POOL A/C NSDL	Spark Capital Advisors (India) Private Limited	12090100	00000183	-
BSE POOL A/C NSDL	Spark Capital Advisors (India) Private Limited	12090100	0000179	-
BSE PRINCIPAL	Spark Capital Advisors (India) Private Limited	12090100	00000164	-
BSE STAR MF	INDIAN CLEARING CORPORATION LIMITED	11000010	00020972	IN620031
CLIENT UNPAID SECURITIES PLEDGE A/C	Spark Capital Advisors (India) Private Limited	12090100	00004141	-
CLIENT SECURITIES MARGINE PLEDGE	Stock Holding Corporation of India Limited	IN301330	40352829	-
CLIENT SECURITIES MARGINE PLEDGE	Spark Capital Advisors (India) Private Limited	12090100	00000432	-
BSE Early Pay-in	INDIAN CLEARING CORPORATION LIMITED	11000011	00024320	-
NSE Early Pay-in	NSE CLEARING LIMITED	11000011	00020871	-

Acceptance of DDPI by Spark PWM Private Limited

Authorised Signatory



From :

\_\_\_\_\_

Client Code: \_\_\_\_\_

DP Client Code: \_\_\_\_\_

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

Date :

**Spark PWM Private Limited**

(Formerly known as Spark Family Office and Investment Advisors (India) Private Limited)

**Subject : Running Account Authorisation**

Dear Sir

Yes                       No

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

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

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

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

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

To be continued....

continued from previous page.

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

3. Authorisation for debiting various depository charges:-  Yes  No

By ticking on YES you authorize SCA to deduct all DP charges from your account.

- a) I hereby give my consent/authority to debit/recover all types of depository charges viz annual maintenance charges, inter settlement charges, any type of transaction charges as is levied on me for the transactions carried out in my demat account including any statutory levies, services tax or any other tax/charges/fees in/from my trading ledger having the captioned client code as maintained with Spark PWM. I understand and agree that such depository charges will be debited in my trading ledger maintained with Spark PWM irrespective of the ledger balance on periodically and/or as per the details provided by SCA.
- b) I instruct Spark PWM to provide the requisite information periodically and/or on occasion basis of such charges levied on me by Spark PWM with whom I have opened the trading account. I understand and consent that SCA shall have the right to recover the depository charges like any other trade dues payable by me from my trading ledger. I hereby further authorize Spark PWM to set off a part or whole of the collateral/ledger balances/securities in my demat account i.e. by way of appropriation of the relevant amount of cash or by way of sell or transfer or liquidation/close out positions of all or some of the securities placed as collateral or lying in my demat account as stated above for the purpose of clearing any outstanding amount related to the aforesaid demat account maintained with SCA. Any and all losses and financial charges on account of such liquidation/close-out shall be borne by me.

#### 4. Sharing of Data & Information:-

Yes  No

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

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

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



(Signature of First Holder)



(Signature of Second Holder)



(Signature of Third Holder)

**FATCA & CRS Declaration**  
*(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)*

**TAX RESIDENCE DECLARATION** *(tick any one, as applicable)*

Entity is a tax resident of India and not resident of any other country     **OR**

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 <sup>%</sup>	Identification Type (TIN or Other <sup>%</sup> , please specify)

<sup>%</sup> ***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: \_\_\_\_\_ *(Refer 3(viii) of Part D)*

**PART A**  
***(to be filled by Financial Institutions or Direct Reporting Non-Financial Entity - NFEs)***

Entity is a	GIIN	Name of sponsoring entity
<input type="checkbox"/> <b>Financial Institution<sup>*1</sup></b> <b>OR</b> <input type="checkbox"/> <b>Direct reporting NFE<sup>2</sup></b>		
<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) *(options available only for Financial Institutions)*

- Applied for**  
 **Not required to apply for** *(Please specify sub-category<sup>3</sup> \_\_\_\_\_) Please provide with Form W8-BEN-E, duly filled in*  
 **Not obtained – Non-participating FIOR**

*\*If the entity is a FI and a tax resident outside India, please fill the below:*

Are you from CRS Jurisdiction      Yes     No *(If No, please answer the next question)*

*Please refer to List of Signatories to CRS @<http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/>)*

Are you an Investment Entity *(Refer 1(iii) of Part D)*      Yes     No *(If Yes, please answer the next question)*

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  
 Yes     No *(If Yes, please additionally fill Part C)*

**PART B**  
***(to be filled by NFEs other than Direct Reporting NFEs; please fill any one as appropriate)***

<input type="checkbox"/> <b>Publicly traded company<sup>4</sup></b> <i>(i.e. a company whose shares are regularly traded on an established securities market)</i>	<input type="checkbox"/> <b>Related entity of a publicly traded company<sup>5</sup></b> <input type="checkbox"/> <i>Subsidiary</i> <input type="checkbox"/> <i>Controlled</i>
<b>Name of the stock exchange</b> <i>(Please specify any one stock exchange on which the stock is traded)</i>	<b>Name of such publicly traded company</b>
	<b>Name of the stock exchange (any one)</b>
<input type="checkbox"/> <b>Active NFE<sup>6</sup></b>	<input type="checkbox"/> <b>Passive NFE<sup>7</sup></b>
<b>Sub-category</b> <i>((Refer 2c of Part D)</i>	<b>Nature of Business</b>
<b>Nature of Business</b>	

<sup>1</sup> Refer 1 of Part D in the Information booklet  
<sup>2</sup> Refer 3(vii) of Part D in the Information booklet  
<sup>3</sup> Refer 1A. of Part D in the Information booklet  
<sup>4</sup> Refer 2a of Part D in the Information booklet

<sup>5</sup> Refer 2b of Part D in the Information booklet  
<sup>6</sup> Refer 2c of Part D in the Information booklet  
<sup>7</sup> 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):*

	<b>Controlling Person 1</b>	<b>Controlling Person 2</b>	<b>Controlling Person 3</b>
<b>Name</b>			
<b>Country of tax residency*</b>			
<b>Address (include City State, Country &amp; Pin code)</b>			
<b>Telephone/ Mobile No. (with ISD code)</b>			
<b>TIN (or functional equivalent for each country identified in relation to each person<sup>%</sup>)</b>			
<b>Identification Type (TIN or Other, please specify)</b>			
<b>Controlling person type code<sup>8</sup></b>			

*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:*

	<b>Controlling Person 1</b>	<b>Controlling Person 2</b>	<b>Controlling Person 3</b>
<b>Customer ID (if allotted)</b>			
<b>Gender (Male, Female, Other)</b>			
<b>City of Birth</b>			
<b>Country of birth</b>			
<b>Occupation Type (Service, Business, Others)</b>			
<b>Nationality</b>			
<b>PAN</b>			
<b>Father's Name (if PAN not available)</b>			
<b>Date of Birth</b>			
<b>Address type for address mentioned above (Residence or business, Residential, Business, Registered office)</b>			
<b>Identification Type (Documents submitted as proof of identity of the individual)<sup>@</sup></b>			
<b>Identification Number (Mandatory if PAN or Aadhaar number is not reported)</b>			
<b>Spouse's name (optional)</b>			
<b>Aadhaar Number (optional)</b>			

**\*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  |

<sup>8</sup> 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 a from 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

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

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

To,  
**Spark PWM Private Limited**  
 (Formerly known as Spark Family Office and Investment Advisors (India)  
 Private Limited)  
 No. 1, 3rd Floor, First Crescent Park Road,  
 Gandhi Nagar, Adyar, Chennai - 600 020

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

Dear Sir,

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

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

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

By SMS       By EMAIL       By SMS & EMAIL\*

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

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

A) I/We wish to receive alerts from the Stock Exchanges/Stock Brokers. Kindly note that if the mobile no/email ID mentioned here is different from the one provided in my KYC, then this mobile no/Email ID shall prevail and I/We give my consent to details being send to this mobile number/email ID. Kindly update your records accordingly.


- My Mobile no. \_\_\_\_\_ is registered in the name of \_\_\_\_\_

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


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


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



First Authorised Signature



Second Authorised Signature



Third Authorised Signature

Mutual Fund confirmation

To,
Spark PWM Private Limited
(Formerly known as Spark Family Office and Investment Advisors (India) Private Limited)
No. 1, 3rd Floor, First Crescent Park Road,
Gandhi Nagar, Adyar, Chennai - 600 020

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

Dear Sir,
Subject: BSE Star Mutual Fund Confirmation

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have entered into relationship with the Trading Member for the purpose of trading in the Capital Market Segment of Bombay Stock Exchange Ltd. and National Stock Exchange Ltd. (hereinafter referred to both as "Exchanges").

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF on the Exchanges.

I/We am/are provide my consent for mutual fund trading against collateral lying in my account. Also, aware that in event of non clearance of debit in my/our trading accounts; there is risk of stock collateral or MF collateral getting liquidated to extent of my/our ledger debit for recovery of trading debit.

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

I/We am/are willing to abide by the terms and conditions as mention in the circular dated December 2,2009 and such other Notices/Circulars as may be specified by the Exchange/ICCL from time to time in this regards, for BSE STAR MF and Terms & Conditions mentioned in circular.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/We therefore request you to register me/us as your client for participating in BSE STAR MF and MFSS.

Thanking you,
Yours faithfully,



Signature / Authorised Signatories
(Please sign in blue ink only)

Date DD MM YYYY

Place \_\_\_\_\_

Client Name \_\_\_\_\_
Demat A/c No. \_\_\_\_\_
1st Holder \_\_\_\_\_
2nd Holder \_\_\_\_\_
3rd Holder \_\_\_\_\_

(Please Tear Here)

Acknowledgment Receipt

Application No.

Date

We hereby acknowledge the receipt of the Account Opening Application & Nomination Form:

Table with 2 columns: Holder Name, and a blank space for acknowledgment.

**In case of non individuals, additional documents to obtained over and above the proof of identity/address:**

Types of entity	Documentary Requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, Proof of Identity, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, Proof of Identity, Proof of Address, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, Proof of Identity, Proof of Address, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, Proof of Identity, Proof of Address, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, Proof of Identity, Proof of Address, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army / Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

----- (Please Tear Here) -----

**Acknowledgment Receipt**

**Application No.**

**Date :**

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**



## Various activities of Stock Brokers with timelines

S. No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

## Dos and DON'Ts for Investors

Dos	DON'Ts
<ol style="list-style-type: none"> <li>1. Read all documents and conditions being agreed before signing the account opening form.</li> <li>2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.</li> <li>3. Read the product / operational framework / timelines related to various Trading and Clearing &amp; Settlement processes.</li> <li>4. Receive all information about brokerage, fees and other charges levied.</li> <li>5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.</li> <li>6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.</li> <li>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades.</li> </ol>	<ol style="list-style-type: none"> <li>1. Do not deal with unregistered stock broker.</li> <li>2. Do not forget to strike off blanks in your account opening and KYC.</li> <li>3. Do not submit an incomplete account opening and KYC form.</li> <li>4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.</li> <li>5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.</li> <li>6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</li> <li>7. Do not opt for digital contracts, if not familiar with computers.</li> <li>8. Do not share trading password.</li> <li>9. Do not fall prey to fixed / guaranteed returns schemes.</li> </ol>

## **VISION**

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

## **MISSION**

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.

## **Services provided to Investors**

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

## **Rights of Investors**

- **Ask** for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- **Receive** complete information about the risks, obligations, and costs of any investment before investing.
- **Receive** recommendations consistent with your financial needs and investment objectives.
- **Receive** a copy of all completed account forms and agreements.
- **Receive** account statements that are accurate and understandable.
- **Understand** the terms and conditions of transactions you undertake.
- **Access** your funds in a timely manner and receive information about any restrictions or limitations on access.
- **Receive** complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- **Discuss** your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Dos	DON'Ts
<p>8. Receive funds and securities / commodities on time within 24 hours from pay-out.</p> <p>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</p> <p>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days).</p> <p>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</p>	<p>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.</p> <p>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.</p>

## Grievance Redressal Mechanism

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

### Spark PWM-Escalation matrix for Investor grievances

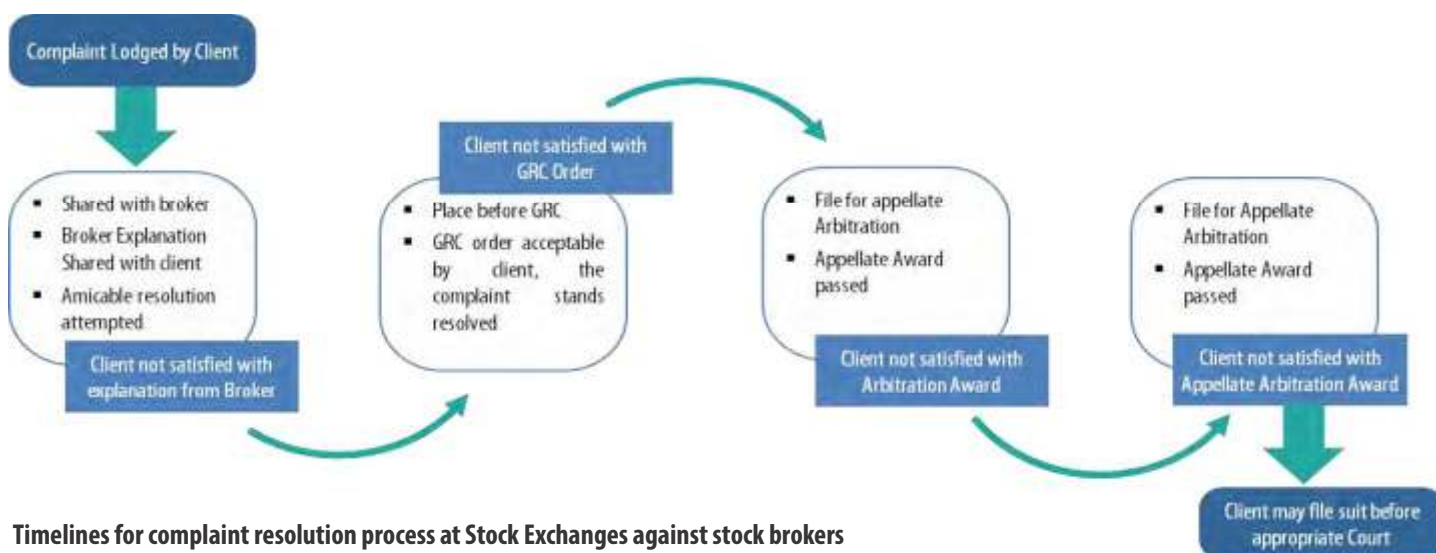
Details of	Contact Person	Address	Contact No.	Email Id
<b>Customer care</b>	Sushma Kotian	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road,, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6735 (Monday-Friday; 9:30 AM to 6:00 PM)	investorgrievance.pwm@sparkcapital.in
<b>Head of Customer care</b>	Mehboob Ahmed	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road,, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6720 (Monday-Friday; 9:30 AM to 6:00 PM)	sfobroking@sparkcapital.in
<b>Compliance Officer</b>	Vilma Mathias Gangahar	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6740 (Monday-Friday; 9:30 AM to 6:00 PM)	pwm.compliance@sparkcapital.in
<b>CEO</b>	Rajesh K Parikh	Unit No.1252, 5th Floor, Building No. 12, Solitaire Corporate Park, Andheri Kurla Road, Chakala, Andheri East, Mumbai – 400 093	+91 22 6291 6757 (Monday-Friday; 9:30 AM to 6:00 PM)	compliance@sparkcapital.in

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

- NSE at <https://investorhelpline.nseindia.com/NICEPLUS> or
- BSE at <https://bsecl.bseindia.com/ecomplaint/frmlInvestorHome.aspx>
- SEBI at <https://scores.gov.in/scores/Welcome.html>

**Level 2** - Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Complaints Resolution Process at Stock Exchange explained graphically:



## Timelines for complaint resolution process at Stock Exchanges against stock brokers

S. No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C+8 Working Days i.e. T day.
4.	Amicable Resolution.	T+15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T+16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

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

### **Default of TM/CM**

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

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

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

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

## INVESTOR CHARTER FOR DEPOSITORY PARTICIPANTS

### 1. **Vision**

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

### 2. **Mission**

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

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

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

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

#### (1) Basic Services

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

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

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

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

#### 4. Details of Grievance Redressal Mechanism

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

1.	Investor Complaint/ Grievances	<p>Investor can lodge complaint/ grievance against the Depository/DP in the following ways:</p> <ol style="list-style-type: none"> <li>Electronic mode-           <ol style="list-style-type: none"> <li>SCORES (a web based centralized grievance redressal system of SEBI) [<a href="https://www.scores.gov.in/scores/Welcom.html">https://www.scores.gov.in/scores/Welcom.html</a>]</li> <li>Respective Depository's web portal dedicated for the filing of complaint [<a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a>]</li> <li>Emails to designated email IDs of Depository [complaints@cdslindia.com]</li> </ol> </li> <li>Offline mode - Email to designated email id of Dps [investorgrievance@sparkcapital.in]</li> </ol> <p>The complaints/ grievances lodged directly with the Depository shall be resolved within 30 days.</p>
2.	Investor Grievance Redressal Committee of Depository	<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"> <li>Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> <li>Participant surrenders the participation by its own wish.</li> </ul>	<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 <a href="https://scores.gov.in/scores/Welcome.html">https://scores.gov.in/scores/Welcome.html</a>
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
17.	Register for Depository's internet-based facility or download mobile app of the depository to monitor your holdings.
18.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20.	Beware of assured/fixed returns.



## **8. Rights of investors**

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

## **9. Responsibilities of Investors**

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

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

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

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

### Para 4 (2) of Investor Charter

#### Point 1: Value Added Services

- a. Basic Services Demat Account (BSDA)<sup>1</sup>: The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto Rs. 50,000. For value of holdings between Rs 50,001- 2,00,000, AMC not exceeding Rs 100 is chargeable. In case of debt securities, there are no AMC charges for holding value upto Rs 1,00,000 and a maximum of Rs 100 as AMC is chargeable for value of holdings between Rs 1,00,001 and Rs 2,00,000.
- b. Transposition cum dematerialization<sup>2</sup>: In case of transposition-cum- dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.
- c. Linkages with Clearing System<sup>3</sup> for actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.

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

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

### Para 5(1) of Investor Charter

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

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

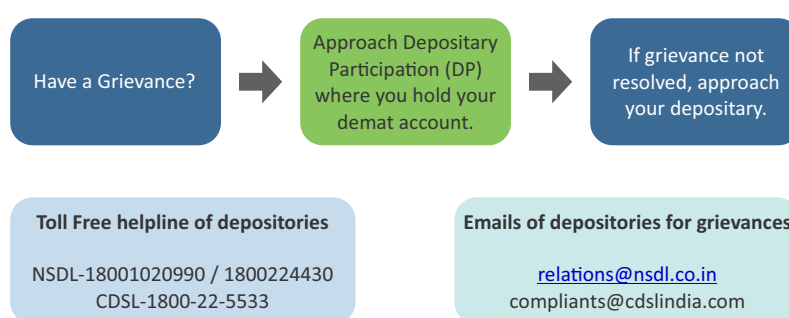
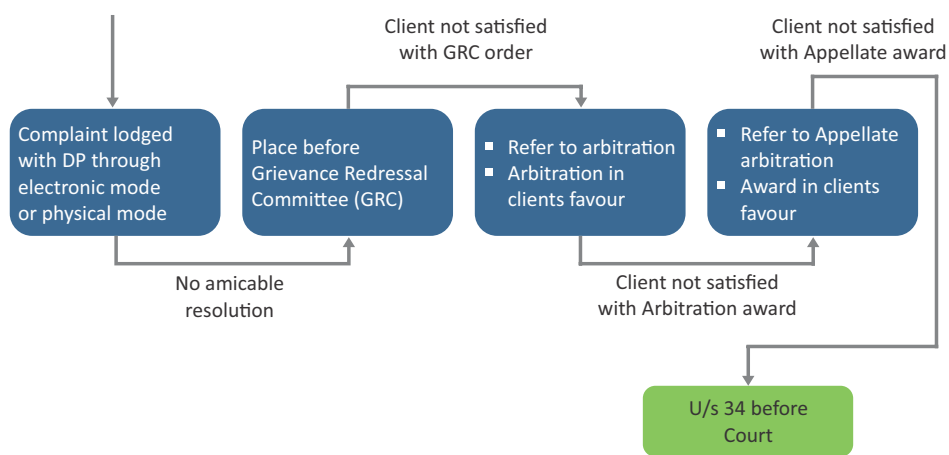
#### Point 3(Arbitration proceedings)<sup>10</sup>:

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

## Para 5(2) of Investor Charter

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

#### Complaint Resolution process at Depositories



#### Investor Helpline Details of Depositories

#### SCA-Escalation matrix for Investor grievances

Details of	Contact Person	Address	Contact No.	Email Id
<b>Customer care</b>	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
<b>Head of Customer care</b>	Mehboob Ahmed	Unit No. 1252, 5th floor, Building 12, Solitaire Corporate Park, Andheri-Kurla Road, Andheri (East), Mumbai-400 093	+91 22 6291 6720 (Monday-Friday; 9:30 AM to 6:00 PM)	investorgrievance.pwm@sparkcapital.in
<b>Compliance Officer</b>	Vilma Mathias Gangahar	Unit No. 1252, 5th floor, Building 12, Solitaire Corporate Park, Andheri-Kurla Road, Andheri (East), Mumbai-400 093	+91 22 6291 6740 (Monday-Friday; 9:30 AM to 6:00 PM)	dp.compliance@sparkcapital.in
<b>CEO</b>	Y Rama Rao	No. 1, 3rd Floor, First Crescent Park Road, Gandhi Nagar, Adyar, Chennai 600 020	+91 44 6925 0000 (Monday-Friday; 9:30 AM to 6:00 PM)	compliance@sparkcapital.in

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

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

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

**Registered Office Address:**

**Spark PWM Private Limited**

(Formerly known as Spark Family Office and Investment Advisors (India) Private Limited)

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

CIN:- U93000TN2012PTC086696 | Board No: 91 6925 0000 | Web: [www.sparkcapital.in](http://www.sparkcapital.in)