

**PART - A****WealthMills Securities (P) Ltd.****Corp. Off.:** Unit No.: 10, Plot No.: 6,7,8,9, Arenja Complex, Sector – 08,
CBD Belapur, Navi Mumbai – 400614, Maharashtra.**SEBI Registration No:** INZ000054130**CIN:** U74120MH2015PTC271289**Contact:** E-Mail: corporate@wealthmills.in Fixed line: +91 22 27576466**Form no.:**

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NRI ACCOUNT OPENINGFORM**ACCOUNT OPENING FORM FOR NON RESIDENT INDIANS&PIOs TRADING IN CASH SEGMENT****ACCOUNT DETAILS**

TRADING ACCOUNT	BANK ACCOUNTS (SB &PIS)	DEMAT ACCOUNTS
Please tick below on type of account to be opened.	Please tick on the appropriate box below for Bank account(s).	Please ticks on the appropriate box below for demat account(s).
☐ NRE PIS	Name of the Bank: A/c. No. : Customer ID : MISR No. : IFSC Code :	Name of the DP: DP ID: Client ID: Depository Name:
☐ NRE Non PIS	Name of the Bank: A/c. No. : Customer ID : MISR No. : IFSC Code :	DP ID: Client ID: Depository Name:
☐ NRO Non PIS	Name of the Bank: A/c. No. : Customer ID : MISCR No. : IFSC Code :	DP ID: Client ID: Depository Name:

Signature



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D. Financial & OTHER DETAILS OF THE CONSTITUENT (APPLICANT)

Income Range Per Annum: Rs. ☐ <1 Lac ☐ 1 to 5Lac ☐ 5 to 10Lac ☐ 10 to 15Lac ☐ More than 25 Lac

OR

Net-worth as on (date): (Net worth should not be older than 1 year) Rs. _____

Please tick, if applicable: ☐ Politically Exposed (PEP) ☐ Related to a Politically Exposed Person (PEP)

Any other information: _____

E. DECLARATION

I/We wish 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. 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. I/we further confirm having read and understood the contents of Part B of the Account opening form comprising of Rights and Obligations of the Beneficial Owner and Depository Participant, Rights & Obligations of Stock Brokers, Sub – brokers and clients, Trading, Risk Disclosure Document, Policy & Procedures, Guidance Note, Additional Terms & Conditions & Schedule of charges. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we acknowledge the receipt of copy of above Part B document. I/We have also been informed that the standard set of documents has been displayed for information on website www.wealthmills.in. The rules and regulations of the Depository and Depository participant, pertaining to an account which are in force now, have been read by me/ us and I / we have understood the same and I / we agree to abide by, and to be bounded by the rules are in force from time to time for such account.

Signature



F. TRADING PREFERENCE

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

Exchanges & Segments

Bombay Stock Exchange Limited	Equities	1 st Signature	Mutual Fund ☐ (Please tick):	2 nd Signature
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Note:

- In case you opt for derivative trading, please enclose any of the following additional documents :
 - ☐ Copy of ITR Acknowledgement ☐ Copy of Annual Accounts ☐ Copy of Form 16, Salary Slip in case of Salary Income
 - ☐ Net worth Acknowledgment ☐ Salary Slip
 - ☐ Bank Account Statement for last 6 Months ☐ Copy of Demat Account Holding Statement
 - ☐ Any other Relevant document substantiating ownership of assets
 - ☐ Self-declaration along with relevant supporting documents
- If in future you want to trade on any new segment/new exchange, please provide separate authorization letter.
- NRO NON PIS Trading Account would be opened in case F&O option is selected.



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K. NOMINATION DETAILS (FOR TRADING ACCOUNT)

I/We wish to nominate ☐

I/We do not wish to nominate ☐

Name of Nominee: _____

Relationship: _____

PAN (if available): _____

Date of Birth:

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Address: _____

Phone No.: _____

If, nominee is minor, please provide details of Guardian:

Name of Guardian: _____

Address: _____

Phone No.: _____

Witness (Only applicable incase of nomination)

Witness 1

Name _____

Signature _____

Address _____

Signature 

L. PERSON OF INDIAN ORIGIN (PIO) DECLARATION (To be signed if the Customer is a PIO)

I hereby declare that I am person of Indian origin and I satisfy one of the following conditions. (Please select from the below mentioned choices as applicable to you).

☐ I held an Indian passport.

☐ My father/mother/grandfather/grandmother (name) _____ is/was a citizen of undivided India.

☐ I am the spouse of an Indian citizen.

☐ I am the spouse of a PIO.

I am attaching herewith, supporting documents to satisfy the above declaration/ I do not hold any document in support of my declaration. I am providing below details in support of my claim _____.

1st Holder-Bank A/c.

2nd Holder-Bank A/c.



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M. FEMA DECLARATION [In case of NRI(s)/Foreign National(s)]

I/We hereby confirm that I am a/we are non-resident Indian/s/foreign national/s individual/s. I/We also confirm that-I/we have complied with FEMA (erstwhile FERA regulations) and I/we would continue to comply with FEMA (FERA) regulations.

1st Holder-Demat A/c.

2nd Holder-Demat A/c.

3rd Holder-Demat A/c.

Date: _____

Place: _____

(To be signed only if 2nd and/or 3rd holder/s is/are NRI/s or FN/s. Not to be signed if 2nd and/or 3rd holder/s is/are resident Indian/s.)

Terms applicable to Fixed brokerage plans:

Product Segment	Transaction Type	Brokerage
Equity	Cash	

Other Terms and Conditions:

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

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

Signature





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N. OTHER DETAILS

1. **Bank account details:**

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/	MICR Number	IFSC code

2. **Demat account details: (In case the client does not have DP account, this column may be crossed)**

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. **Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference).....**

4. **Standing instructions to receive credits automatically into my BO account (Yes/No)**

5. **Name details (Name, Pan, Address and Phone no. of nominee); relationship with the nominee (If nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)**

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

Signature 

Date: _____ (dd/mm/yyyy)



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Client Declaration for Product and services availed outside the home country

To

WealthMills securities (p) Ltd,

I / We hereby confirm that I am / we are the residents of _____ and that I / we have availed signed up for this product / facility /service/ made investment(s) on my/our trip to _____ and executed all the documents relating to the above referred product /facility/ service/investment while in _____.

I / We hereby represent, warrant, agree and undertake on a continuing basis that:

- A. There are/shall be no legal or regulatory prohibitions or impediments against my /our maintaining my/ our relationship with WealthMills securities pvt Ltd., including making the aforementioned investment(s) /availing the products/facilities /service.
- B. In making the aforementioned investment(s) /availing the products/facilities /service from the time to time, I/we shall obtain all necessary regulatory approvals, if required in connection with any such transactions and shall promptly make all necessary regulatory reporting , if required , to the relevant authorities in my /our home country and in India and I / we agree to furnish to WealthMills securities pvt Ltd, upon request, copies of such approvals/ reports , if any .
- C. All decisions to make the aforementioned investments(s) / avail of the products/ facilities / service from time to time are /shall be my /our independent decisions, and I/ we shall not make reliance on views or opinions , if any, as may be expressed WealthMills securities pvt Ltd or its representatives from time to time and the decisions are/shall be arrived at after personal analysis and careful consideration of the risks , benefits, terms and conditions and taking in to account my/ our investment objectives, risk appetite, financial situations and particular needs. I/ we are subscribing to the above products / facilities /service/investments on my/our own and without having been solicited by WealthMills securities pvt Ltd or their affiliates, representatives, employees, agents etc in any manner whatsoever.
- D. I / We shall not use/invest in the products / avail facilities /service WealthMills securities pvt Ltd in any manner which may subject to WealthMills securities pvt Ltd to the laws and regulations, including but not limited to any applicable tax laws of any country other than India
- E. I/We shall be solely responsible for complying with all laws and regulations applicable in my /our home country or any other country of residence where I / We may relocate in future with respect to the products / facilities /services availed from WealthMills securities pvt Ltd or investments made.
- F. I/We are aware that products / facilities /services availed/investments made by me/us while in India may or may not be offered by the offshore branches /representative offices/ affiliates of WealthMills securities pvt Ltd located outside India.

I/we hereby request WealthMills securities pvt Ltd. and their affiliates, representatives, service providers and employees, to contact me/us by telephone or otherwise communicate with me/us from time to time in connection with servicing issues pertaining to the products /relationship which I/we have with WealthMills securities pvt Ltd. /their affiliates, from time to time. In addition to the above, otherwise communicate with me/us in connection with the new products, services WealthMills securities pvt Ltd and their affiliates. I/We shall WealthMills securities pvt Ltd and their affiliates, representatives, employees and agents against all losses, costs, expenses, suits, damage whatsoever arising out of or in connections with their assistance and their services that may be provided to me / us in connection with the aforementioned products/ investments/facilities or service in my /our name.

I/we acknowledge that WealthMills securities pvt Ltd relies on my /our representations, warranties, undertakings and statements contained herein in agreeing to establish /continue its/their relationship with me/us and in agreeing to provide the aforementioned facilities /services etc to me/us from time to time.

(Signature of the First Holder)



KNOW YOUR CLIENT (KYC)
Application Form – For Individual

WealthMills Securities (P) Ltd.

Acknowledgement No.

☐ New ☐ CHANGE REQUEST (Please tick v the appropriate)

Please fill the form in **ENGLISH** and in **BLOCK LETTERS**

A) IDENTITY DETAILS

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

B) ADDRESS DETAILS

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

C) DECLARATION

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

Place: _____ Date: _____

Signature of the Applicant

D) FOR OFFICE ONLY

IPV Done ☐ on date

- ☐ (Originals verified) Self Certified Document copies received
- ☐ (Attested) True copies of documents received Main Intermediary

Seal Stamp of Intermediary should contain

Staff Name:
Designation:
Name of Organization:
Signature:
Date:

Seal Stamp of Intermediary should contain

Staff Name:
Designation:
Name of Organization:
Signature:
Date:



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FATCA-CRS Declaration Form Individual

Details under FATCA and CRS

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

Primary Applicant

- 1) Name
- 2) Address For Tax Purposes ☐ Communication ☐ Permanent ☐ Other (If Other, Please fill below)
- 3) Other Address
Landmark City
Pin code State Country
- 4) Address Type (a) ☐ Resident (b) ☐ Business (c) ☐ Registered Office
- 5) (a) Pan (b) Nationality
- 6) Father's Name
- 7) City of Birth
- 8) Country of Birth
- 9) Identification Type and Identification Number (Documents submitted as proof of identity of the individual): Name of the document submitted Identification number
- 10) Please tick the applicable tax resident declaration: (Any one)
☐ I am a tax resident of India and not resident of any other country
Or
☐ I am a tax resident of the country/ies mentioned in the table below

Country	Tax Identification	Identification Type (Tin or Other, Please specify)

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

%in case Tax Identification No. is not available, kindly provide functional equivalents

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

FATCA-CRA Certification

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

Signature 

Date: _____

Customer Declaration (Applicable for all customers):

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

Signature 

Date: _____



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BSE StAR MF

(Letter to be provided by the Investor to the MFI)

To _____

Date: _____

Sir,

Sub: BSE StAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of BSE Ltd. (Exchange). Further, I/We have also availed of mutual fund platform of BSE through you.

I/We am/are interested in availing the liquid overnight functionality available on the mutual fund platform of BSE for investing my/our monies in the units of Liquid Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF platform and hereby authorize you to use the said functionality for investing my/our monies accordingly.

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

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated April 16, 2015 and as may be specified by the Exchange from time to time in this regard.

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum and addenda issued thereto, if any, 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.

Thanking you,

Yours faithfully,

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

Date:

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

Dear Sir/Madam,

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

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

Signature



Name of Applicant