



# Investment Solutions

## Trading & Depository Services

KYC & ACCOUNT OPENING FORM  
[FOR INDIVIDUALS]

### Stockbroker/Trading Member & Depository Participant

**Sanctum Wealth Private Limited**  
CIN: U74140MH2015PTC264932

### SEBI Registration

**BSE & NSE Capital Markets Segment**  
INZ000011338 | October 23, 2015

**NSE Futures & Options Segment**  
INZ000011338 | February 3, 2016

**Depository & Depository Participant ID**  
NSDL | IN303956

### Registered Office & Correspondence Address

1401, Tower 2, One International Center, Senapati Bapat Marg,  
Elphinstone Road, Mumbai 400013

### Compliance Officer

**Mr Rishabh Kumar**  
compliance@sanctumwealth.com  
+91 22 6177 9562

### Chief Executive Officer

**Mr Shivaashish Gupta**  
ceo@sanctumwealth.com  
+91 22 6177 9561

## INDEX OF DOCUMENTS

### TRADING ACCOUNT DOCUMENTS

#### MANDATORY DOCUMENTS

|    |  |                                    |    |
|----|--|------------------------------------|----|
| 1. | KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS  | .....                              | 3  |
| 2. | TRADING ACCOUNT OPENING FORM FOR INDIVIDUALS   | .....                              | 7  |
| 3. | TARIFF SHEET   | .....                              | 10 |
| 4. | RIGHTS & OBLIGATIONS DOCUMENT (INCLUDING<br>ADDITIONAL RIGHTS & OBLIGATIONS INCASE OF<br>INTERNET / WIRELESS TECHNOLOGY BASED TRADING) | [Handed Over to Client Separately] |    |
| 5. | RISK DISCLOSURE DOCUMENT (RDD)   | [Handed Over to Client Separately] |    |
| 6. | GUIDANCE NOTE  | [Handed Over to Client Separately] |    |
| 7. | POLICIES & PROCEDURES  | [Handed Over to Client Separately] |    |
| 8. | INVESTOR CHARTER   | [Handed Over to Client Separately] |    |

#### VOLUNTARY DOCUMENTS

|     |   |                                    |    |
|-----|---|------------------------------------|----|
| 8.  | ELECTRONIC CONTRACT NOTE AUTHORISATION          | .....                              | 11 |
| 9.  | RUNNING ACCOUNT AUTHORISATION                   | .....                              | 12 |
| 10. | AUTHORISATION OF TRANSFER OF FUNDS & SECURITIES | .....                              | 13 |
| 11. | TRADING TERMS & CONDITIONS                      | [Handed Over to Client Separately] |    |
| 12. | POWER OF ATTORNEY                               | [Taken From Client Separately]     |    |
| 13. | DEMAT DEBIT AND PLEDGE INSTRUCTION              | [Taken From Client Separately]     |    |

### DEPOSITORY ACCOUNT DOCUMENTS

|    |   |                                    |    |
|----|---|------------------------------------|----|
| 1. | DEPOSITORY ACCOUNT OPENING FORM FOR INDIVIDUALS | .....                              | 14 |
| 2. | TARIFF STRUCTURE FOR DEPOSITORY ACCOUNT         | .....                              | 17 |
| 3. | RIGHTS & OBLIGATIONS DOCUMENT                   | [Handed Over to Client Separately] |    |
| 4. | INVESTOR CHARTER                                | [Handed Over to Client Separately] |    |

### OTHER DOCUMENTS

|    |                                    |                                    |  |
|----|------------------------------------|------------------------------------|--|
| 1. | SANCTUM GENERAL TERMS & CONDITIONS | [Handed Over to Client Separately] |  |
|----|------------------------------------|------------------------------------|--|

For any grievance/dispute please write to Sanctum Wealth Private Limited at the REGISTERD address, or send an email to [grievance@sanctumwealth.com](mailto:grievance@sanctumwealth.com), or call phone number 022-6177 9500. In case you are not satisfied with the response you may contact the concerned exchanges or depository. Their contact details are as follows:

BSE : [is@bseindia.com](mailto:is@bseindia.com) and phone number 022-2272 8097

NSE : [ignse@nse.co.in](mailto:ignse@nse.co.in) and phone number 022-2659 8190 / 1800 220 058

NSDL : [relations@nsdl.co.in](mailto:relations@nsdl.co.in) and phone number 1800 1020 990 / 1800 224 430

For information on grievance redressal, please refer to the escalation matrix provided on our website, on the following link: <https://www.sanctumwealth.com/contact>.

#### Sanctum Wealth Private Limited

AMFI Registered Mutual Fund Distributor | Registered Stockbroker | Depository Participant | Portfolio Manager | Research Analyst  
1401, Tower 2, One International Center, Senapati Bapat Marg, Elphinstone Road, Mumbai 400013 CIN # U74140MH2015PTC264932  
Version – 202606.01

## KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS

Please fill in the form in English and in BLOCK letters. All fields are mandatory unless specified otherwise

### FOR OFFICE USE ONLY

Application Type \_\_\_\_\_ Account Type \_\_\_\_\_  
 KYC Number \_\_\_\_\_ [Mandatory for KYC Update Request]

### PERSONAL DETAILS

[Prefix] [First Name] [Middle Name] [Last Name]  
 Client Name \_\_\_\_\_  
 Maiden Name \_\_\_\_\_  
 [Where relevant]  
 Father's/Spouse's Name \_\_\_\_\_  
 Mother's Name \_\_\_\_\_  
 Date of Birth \_\_\_\_\_ Gender \_\_\_\_\_  
 Marital Status \_\_\_\_\_ Resident Status \_\_\_\_\_  
 Citizenship \_\_\_\_\_ Country \_\_\_\_\_  
 [If Citizenship is not "Indian"]  
 Occupation \_\_\_\_\_ Other Occ. \_\_\_\_\_  
 Political Exposure \_\_\_\_\_ GST Number \_\_\_\_\_

PAN Exemption Applicable?  
 [Check the box if response is Yes]

PAN Number \_\_\_\_\_

Exemption Category \_\_\_\_\_

Exemption Reference Number \_\_\_\_\_

Form 60 Furnished \_\_\_\_\_

### PROOF OF IDENTITY & ADDRESS\*

I Certified copies of Original Verified Documents (OVD) or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any ONE of the following OVDs)

- A-Passport
- B-Voter ID Card
- C-Driving License
- D-NREGA Job Card
- E-National Population Register Letter
- F-Proof of Possession of Aadhar\*

II  E-KYC Authentication\*

III  Offline Verification of Aadhar\*

[\*Omit first 8 digits of UID Number]

PASTE PHOTO  
HERE

SPECIMEN  
SIGNATURE

Address (Permanent)

\_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_

District \_\_\_\_\_

City/Town/Village \_\_\_\_\_

Zip/Post Code \_\_\_\_\_

State/UT \_\_\_\_\_

State/UT Code \_\_\_\_\_

Country \_\_\_\_\_

[As per Indian Motor Vehicle Act, 1988]

Country Code \_\_\_\_\_

[As per ISO 3166]

**MANDATORY**

**– CURRENT ADDRESS DETAILS**

- Same as above mentioned address (in such cases address details as below need not be provided)
- I Certified copies of Original Verified Documents (OVD) or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (any ONE of the following OVDs)
  - A-Passport
  - B-Voter ID Card
  - C-Driving License
  - D-NREGA Job Card
  - E-National Population Register Letter
  - F-Proof of Possession of Aadhar\*
- II – E-KYC Authentication\*
- III – Offline Verification of Aadhar\*
- IV – Deemed Proof of Address [Document Type Code]  
 [\*Omit first 8 digits of UID Number]

**Address (Correspondence)**

---



---

|  |  |
|--|--|
| District _____<br>Zip/Post Code _____<br>State/UT Code _____<br><small>[As per Indian Motor Vehicle Act, 1988]</small> | City/Town/Village _____<br>State/UT _____<br>Country _____<br>Country Code _____<br><small>[As per ISO 3166]</small> |
| Residence Type _____   |  |

**– CONTACT DETAILS**

All communication to the client will be sent to the email address and/or mobile number provided below.

|  |   |
|--|---|
| Email Address _____                              | Mobile Number _____                                 |
| Belongs to: _____                                | Belongs to: _____                                   |
| Telephone _____<br><small>[Office phone]</small> | Telephone _____<br><small>[Residence phone]</small> |

– I consent to receiving communication by email and/or mobile from Sanctum Wealth Private Limited

**REMARKS (IF ANY)**

---

**OTHER INFORMATION**

In case you wish to register additional email addresses to which statements are to be sent and mobile numbers, please provide the details below.

| # | Email Address | Mobile Number |
|---|---------------|---------------|
| 1 |               |               |
| 2 |               |               |
| 3 |               |               |

### FATCA/CRS DETAILS

Place of Birth \_\_\_\_\_ Country of Birth \_\_\_\_\_

Gross Annual Income \_\_\_\_\_

Net Worth [₹ Lakhs] \_\_\_\_\_ Net Worth Date \_\_\_\_\_

Is your country of tax residency other than India?  
 [Check the box if response is Yes]

If 'Yes', please specify the details of all countries where you hold tax residency and its tax identification number & type. Include all countries other than India, where client is a Citizen, Resident, Green Card Holder, Tax Resident, etc., especially of the USA.

| # | Country of Tax Residency | Tax-Payer Identification Number/ Functional Equivalent/ Company Identification Number/ Global Entity Identification Number | Identification Type (TIN or other, please specify) |
|---|--------------------------|--|--|
| 1 |                          |  |  |
| 2 |                          |  |  |
| 3 |                          |  |  |

### CONSENT FOR RECEIVING RESEARCH ALERTS

Are you interested in receiving our research alerts  
 [Check the box if response is Yes]

Mobile Number \_\_\_\_\_  
 (Linked to your WhatsApp account)

I/We understand that as part of your service offering you send periodic alerts on WhatsApp to your clients. I/We also understand that these alerts pertain to research strategies that are grouped based on my/our specific needs to help inform my/our investment decisions.

I/We hereby consent to receive these WhatsApp alerts on my/our phone number mentioned above. I/We understand and accept that these alerts are not investment advice and cannot be construed as such.

I/We therefore request you to initiate/cancel alerts for the following groups:

| Research Strategy Groups  | Initiate Alerts |
|---|-----------------|
| <b>#1: Meant for Traders</b> <ul style="list-style-type: none"> <li><b>Momentum calls:</b> Short-term cash calls driven by technical and quantitative insights, targeting gains within a month.</li> <li><b>Short-term calls:</b> Quick cash trading calls powered by data analytics, aiming for profits spanning one to three months.</li> </ul> | —               |
| <b>#2: Meant for Investors</b> <ul style="list-style-type: none"> <li><b>Positional calls:</b> Medium-term cash calls blending fundamental and technical prowess, designed for a 3-month to 1-year investment horizon.</li> <li><b>Long-term calls:</b> Long-term fundamental cash calls tailored for investments exceeding one year.</li> </ul>  | —               |
| <b>#3: Meant for Risk Connoisseurs</b> <ul style="list-style-type: none"> <li><b>Futures &amp; Options:</b> Strategies spanning both indices and stocks for sophisticated investors who understand the risk-reward of investing in F&amp;O.</li> </ul>  | —               |

### CLIENT DECLARATION

1. I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform Sanctum Wealth Private Limited ("Sanctum") of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I undertake to inform Sanctum in writing regarding any change to the said information in future and also undertake to provide any other additional information as may be required by Sanctum or any of the abovementioned intermediaries and authorities.
2. I hereby consent to receiving information from Central KYC Registry and CVL-KRA through SMS/Email on the above registered number or email address.
3. I am aware that the Aadhaar (if provided as a KYC proof) shall be validated against the Aadhaar details updated in Unique Identification Authority of India (UIDAI) . I hereby consent to sharing my masked Aadhaar card with readable QR code with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
4. I acknowledge & hereby confirm to have read the Wealth Management Services General Terms & Conditions and agree to affirm on any further confirmation/undertakings which are required by Sanctum. I consent to share my KYC details/contact information with other group companies of Sanctum and/or such other external counter parties or service providers empanelled by Sanctum for the purpose of referring/distributing/offering third party financial/securities market related products to me. I confirm that the amount invested by me is from legitimate sources/channels only and does not involve and is not designed for the purpose of any contravention or evasion of the provision of any statutory guidelines pertaining to income tax act, Prevention of Money Laundering Act, or any other applicable laws, as may be in force from time to time
5. I hereby give my explicit consent to Sanctum to receive information regarding my investments and transactions which I have undertaken with various entities. I further give my explicit consent to Sanctum to update my portfolio and issue periodic/ad-hoc statements to me.

#### Signature of Client

|                 |                   |
|-----------------|-------------------|
| Signature Image | Digital Signature |
|                 |                   |

Date

Place

[Name]

## PART II - TRADING ACCOUNT OPENING FORM (ADDITIONAL INFORMATION)

## CLIENT DETAILS

Client Name \_\_\_\_\_  
 [Prefix] [First Name] [Middle Name] [Last Name]

PAN Number \_\_\_\_\_

## FINANCIAL DETAILS

## INCOME DETAILS

Available in the KYC form provided by the client.

## YEARS OF INVESTMENT/TRADING EXPERIENCE

In Equities \_\_\_\_\_ In Derivatives \_\_\_\_\_

## ADDITIONAL DETAILS FOR NRI/FOREIGN NATIONALS

This section is applicable for Non-resident Indians and Foreign Nationals only. Please attach a copy of the permission for dealing in securities granted by your Authorised Dealer (Bank) under the Portfolio Investment Scheme (PIS).

RBI Approval Ref. Number \_\_\_\_\_ RBI Approval Date \_\_\_\_\_  
 [In DD/MM/YYYY Format]

## BANK &amp; DEPOSITORY ACCOUNT DETAILS

Client may provide details of up to two (2) bank and depository account details respectively. However, only the first bank and depository account will be considered as the default account in our records.

| # | Bank Name and Branch Address | Account Type [SB/CA/NRE/NRO] | Account Number | MICR Number | IFSC Number |
|---|------------------------------|------------------------------|----------------|-------------|-------------|
| 1 |                              |                              |                |             |             |
| 2 |                              |                              |                |             |             |

| # | Depository Participant Name | DP ID | Depository [NSDL/CDSL] | Beneficiary Names | Beneficiary ID [BOID] |
|---|-----------------------------|-------|------------------------|-------------------|-----------------------|
| 1 |                             |       |                        |                   |                       |
| 2 |                             |       |                        |                   |                       |

## TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you. Additional documents as per exchange guidelines may be required for trading in derivative segment.

| Stock Exchanges   | NSE and BSE          |                     |
|-------------------|----------------------|---------------------|
| All segments      | Cash and Mutual Fund | Futures and Options |
| Digital Signature | Digital Signature    | Digital Signature   |

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

## ADDITIONAL INFORMATION

|   |                       |               |
|---|-----------------------|---------------|
| Whether the client wishes to receive contract notes in electronic (ECN) form or physical form?                                      | Electronic Form (ECN) | Physical Form |
| Whether the client wishes to receive copy of account opening kit and prescribed mandatory documents in electronic or physical form? | Electronic Form       | Physical Form |

## Sanctum Wealth Private Limited

AMFI Registered Mutual Fund Distributor | Registered Stockbroker | Depository Participant | Portfolio Manager | Research Analyst  
 1401, Tower 2, One International Center, Senapati Bapat Marg, Elphinstone Road, Mumbai 400013 CIN # U74140MH2015PTC264932  
 Version – 202606.01

|  |     |    |
|--|-----|----|
| Whether the client wishes to receive transaction and other updates on email and through SMS on mobile phone? | Yes | No |
| Whether the client wishes to avail of the facility of internet based trading (IBT) if provided by Sanctum?   | Yes | No |

#### PAST ACTIONS & DEALING THROUGH OTHER INTERMEDIARIES

DETAILS OF ANY ACTIONS/PROCEEDINGS INITIATED/PENDING/TAKEN BY SEBI/STOCK EXCHANGES/ANY OTHER AUTHORITY AGAINST THE CLIENT DURING THE LAST 3 YEARS.

#### DETAILS OF SUB-BROKER THE CLIENT IS DEALING WITH (IF ANY)

Sub-broker Name \_\_\_\_\_ SEBI Reg. Number \_\_\_\_\_  
Registered Office Address \_\_\_\_\_

Email Address \_\_\_\_\_ Mobile Number \_\_\_\_\_

#### DETAILS OF OTHER STOCKBROKERS/SUB-BROKERS THE CLIENT IS DEALING WITH (IF ANY)

In case the client is dealing with multiple such intermediaries, details of all must be provided

Stockbroker Name \_\_\_\_\_

Sub-broker Name \_\_\_\_\_

Client Code (BSE) \_\_\_\_\_

Client Code (NSE) \_\_\_\_\_

#### DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH STOCKBROKERS/SUB-BROKERS

#### INTRODUCER'S DETAILS

Introducer's Name \_\_\_\_\_

Introducer Status\*                      Sub-Broker                      Remisier                      Authorised Person  
Existing Client                      Other \_\_\_\_\_

Correspondence Address \_\_\_\_\_

Email Address \_\_\_\_\_ Mobile Number \_\_\_\_\_

Signature Of Introducer

Date & Place \_\_\_\_\_

#### NOMINATION DETAILS

Yes, I wish to Nominate\*

No, I DO NOT wish to Nominate \*

\* A declaration to be provided in a separate form

**INTERESTS IN LISTED COMPANIES**

Do you have any interests, directly or indirectly, in any company listed on the Indian stock exchanges that may enable you to obtain or come into possession of any unpublished price-sensitive information.

No, I/we do NOT have interests in listed companies as described above

Yes, I/we have interests in listed companies as described above.

If response is Yes, please provide list of such companies in writing to Sanctum.

**MOST IMPORTANT TERMS AND CONDITIONS (MITC)**

[For non-custodial settled trading accounts]

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

**CLIENT DECLARATION**

1. I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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, I am aware that I may be held liable for it.
2. I further confirm having received, read and understood the contents of the 'Rights and Obligations', 'Risk Disclosure', 'Guidance Notes', 'Investor Charter' and 'Policy for Handling Good Till Cancelled or Triggered Orders'. I do hereby agree to be bound by such provisions as outlined in the documents. I have also been informed that the standard set of documents has been displayed for Information on stockbroker's designated website.
3. I further confirm having read/been explained and understood the contents of the document on policy and procedures of the stockbroker and the tariff sheet.
4. By opting for the IBT facility I confirm I have read and understood the ‘Rights & Obligations’ pertaining to internet and wireless based trading facility.
5. I hereby declare that I am aware of the laws, practices, rules, regulations, guidelines, circulars, etc., prescribed by the Securities and Exchange Board of India (SEBI), the National Stock Exchange of India Limited. (NSE) and the Bombay Stock Exchange Limited (BSE).
6. I hereby declare that I will not indulge either directly or indirectly in any fraudulent or unfair trade practices either individually or in concert with other persons/entities in the Capital Markets or Derivatives segments of BSE & NSE. In the event any fraudulent or unfair trade practices is uncovered by the Exchanges or Regulatory Authorities, I shall be solely responsible for such acts and Sanctum Wealth Private Limited shall not be responsible for the same. Further, I shall bear the penalty or fine if incurred by Sanctum Wealth Private Limited due to such activities.
7. In case of any change in my US person status (where applicable) at a future date, I undertake to inform Sanctum Wealth Private Limited of the same within 30 (thirty) days. I am aware that in that event, my account would be considered as a U.S. Reportable Account and my account details, as required under the Inter-Governmental Agreement (IGA) signed by the Government of India with the US Government, would be reported to the relevant tax authority.
8. I hereby declare that I have received, read and understood the Trading Terms & Conditions.

Signature Of Client

Digital Signature

Date \_\_\_\_\_

Place \_\_\_\_\_

[Name]

**Sanctum Wealth Private Limited**

## BROKERAGE &amp; STATUTORY CHARGES

## Cash Market/Capital Market

|                | Intra-day Rate (%) | Delivery Rate (%) |
|----------------|--------------------|-------------------|
| Brokerage Rate |                    |                   |

## Future &amp; Option Derivatives

|           | Equity Future | Intra-day | Equity Option* |         |
|-----------|---------------|-----------|----------------|---------|
|           | (%) Rate      | (%) Rate  | (%) Rate       | Per lot |
| Brokerage |               |           |                |         |

\* Per Lot or (%) rate whichever is higher shall be charged

## Other Charges

All statutory charges, viz., securities transaction tax, turnover tax, stamp duty and other statutory taxes and levies, will be charged to the client on actuals.

Brokerage charges shall not exceed the maximum permissible limit as prescribed by the Stock Exchanges/SEBI. Any changes in the above brokerage rates will be mutually agreed with the client.

## Signature Of Client

|  |                   |
|--|-------------------|
|  | Digital Signature |
|--|-------------------|

Date \_\_\_\_\_

Place \_\_\_\_\_

\_\_\_\_\_  
[Name]

## ELECTRONIC CONTRACT NOTE AUTHORISATION

(IF ECN IS TO BE SENT TO A RELATIVE)

To,  
**Sanctum Wealth Private Limited**  
 1401, Tower 2, One International Center,  
 Senapati Bapat Marg, Elphinstone Road,  
 Mumbai 400013

Dear Sir

I hereby authorize Sanctum Wealth Private Limited ("Sanctum") to send Electronic Contract Notes (ECN) and transaction updates through electronic means to my relative, i.e., spouse, children or parents, whose details are given below.

This communication is in addition to those sent to me on my own mobile phone and email address as registered with the Central KYC Registry/ CVL-KRA.

|                             |       |                     |
|-----------------------------|-------|---------------------|
| Name of Relative            | _____ |                     |
| Relationship<br>With Client | _____ | PAN Number _____    |
| Email Address               | _____ | Mobile Number _____ |

In the event of any changes to the above mentioned details, I will inform Sanctum immediately in writing.

Yours faithfully,

Signature Of Client\*

|                          |
|--------------------------|
| <b>Digital Signature</b> |
|--------------------------|

Date \_\_\_\_\_

Place \_\_\_\_\_

[Name]

\* To be signed by the client and not a power of attorney holder

## RUNNING ACCOUNT AUTHORISATION

To,  
**Sanctum Wealth Private Limited**  
1401, Tower 2, One International Center,  
Senapati Bapat Marg, Elphinstone Road,  
Mumbai 400013

Dear Sir

I am dealing through you as a client for BSE and/or NSE in Capital Market and/or Future & Option segment and in order to facilitate ease of operations and upfront requirement of margin for trade, I authorise you as under:

1. I request you to maintain running balance in my account in accordance with circulars/guidelines issued by SEBI/Exchanges from time to time.
2. I request you to settle my funds account once in every calendar Quarter/~~Month~~ (strike out whichever is not applicable) or such other higher period as allowed by SEBI/Stock Exchange from time to time except collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
3. I confirm that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.

I however, reserve my right to revoke this authorization at any time in writing.

Yours faithfully,

Signature Of Client\*

|                          |
|--------------------------|
| <b>Digital Signature</b> |
|--------------------------|

Date \_\_\_\_\_

Place \_\_\_\_\_

\_\_\_\_\_  
[Name]

\* To be signed by the client and not a power of attorney holder

### AUTHORISATION FOR TRANSFER OF FUNDS/SECURITIES

To,  
**Sanctum Wealth Private Limited**  
1401, Tower 2, One International Center,  
Senapati Bapat Marg, Elphinstone Road,  
Mumbai 400013

Dear Sir

I hereby authorise you as under:

1. To transfer funds and/or securities from my account in one segment against my obligations in another segment in the same exchange or different exchange.
2. To transfer funds and/or securities from my account in one segment against collaterals/margins for my trade in another segment against collaterals/margins for my trade in another segment in the same exchange or different exchange.
3. I am aware that funds mean monies that are lying as credit in my account provided that there is sufficient credit balance in the client account.
4. Any securities and funds placed by me as Margin with you may in turn be placed as margin by you with the Exchanges or Clearing Corporation or Clearing House/Clearing Member as you may deem fit and as may be permitted by the exchange/SEBI from time to time. I further authorize you to do all such acts, deeds and things as may be necessary and expedient for placing such securities with the Exchanges/Clearing Corporation/ Clearing House/ Clearing Member as margin

In case I wish to withdraw this authorization, I shall inform you in writing (acknowledged by you) at least 5 (five) working days in advance from the date of withdrawal.

Yours faithfully,

Signature Of Client\*

|                   |
|-------------------|
| Digital Signature |
|-------------------|

|       |       |
|-------|-------|
| Date  | _____ |
| Place | _____ |

\_\_\_\_\_  
[Name]

\* To be signed by the client and not a power of attorney holder

## DEPOSITORY ACCOUNT OPENING - INDIVIDUALS

|  |                          |                          |                           |
|--|--------------------------|--------------------------|---------------------------|
| <b>DEPOSITORY PARTICIPANT NAME</b><br>Sanctum Wealth Private Limited<br>1401, Tower 2, One International Center, Senapati<br>Bapat Marg, Elphinstone Road, Mumbai 400013 | <b>DP ID</b><br>IN303956 | <b>DATE</b><br>_____     | <b>CLIENT ID</b><br>_____ |
|  |                          | [To be filled by Client] | [To be filled in by DP]   |

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

### CLIENT DETAILS

Client details such as address, contact details, occupation, etc., shall be as stated/available in the KYC Forms filled by the account holder(s).

|                                       |          |              |               |                            |
|---------------------------------------|----------|--------------|---------------|----------------------------|
| <b>Name of Sole/<br/>First Holder</b> | _____    | _____        | _____         | _____                      |
|                                       | [Prefix] | [First Name] | [Middle Name] | [Last Name]                |
| <b>PAN Number</b>                     | _____    |              |               | <b>Date of Birth</b> _____ |
| <b>Name of Second<br/>Holder</b>      | _____    |              |               |                            |
|                                       | [Prefix] | [First Name] | [Middle Name] | [Last Name]                |
| <b>PAN Number</b>                     | _____    |              |               |                            |
| <b>Name of Third<br/>Holder</b>       | _____    |              |               |                            |
|                                       | [Prefix] | [First Name] | [Middle Name] | [Last Name]                |
| <b>PAN Number</b>                     | _____    |              |               |                            |

### SMS Alert Option [Mandatory for accounts with DDPI / POA]

|                                   | Sole/First Holder | Second Holder | Third Holder |
|-----------------------------------|-------------------|---------------|--------------|
| <b>SMS Alert on Mobile Phones</b> | Yes               | Yes           | Yes          |

### GUARDIAN DETAILS

Required where sole holder is a minor. For account of a minor, two KYC forms must be filled, i.e., one for the guardian and one for the minor (to be signed by the guardian)

|                                    |       |                   |       |
|------------------------------------|-------|-------------------|-------|
| <b>Guardian's Name</b>             | _____ | <b>PAN Number</b> | _____ |
| <b>Relationship<br/>With Minor</b> | _____ |                   |       |

### TYPE OF ACCOUNT

|                     |                            |                  |                     |
|---------------------|----------------------------|------------------|---------------------|
| <b>Account Type</b> | Ordinary Resident          | NRI Repatriable  | NRI Non-Repatriable |
|                     | Qualified Foreign Investor | Foreign National | Margin              |
|                     | Promotor                   | Others _____     |                     |

### ADDITIONAL CLIENT DETAILS

For Association of Persons (AOP), Partnership Firms, Unregistered Trusts, etc., although the account is opened in the name of the natural persons the name and PAN of the Association of Persons (AOP), Partnership Firms, Unregistered Trusts, etc., should be mentioned below.

|                    |       |                   |       |
|--------------------|-------|-------------------|-------|
| <b>Entity Name</b> | _____ |                   |       |
| <b>PAN Number</b>  | _____ | <b>GST Number</b> | _____ |

### DETAILS FOR NRIs/FOREIGN NATIONALS

Applicable for Non-resident Indians and Foreign Nationals only. Please attach a copy of the relevant RBI permission.

|                                     |       |                              |                        |
|-------------------------------------|-------|------------------------------|------------------------|
| <b>RBI Approval<br/>Ref. Number</b> | _____ | <b>RBI Approval<br/>Date</b> | _____                  |
|                                     |       |                              | [In DD/MM/YYYY Format] |

### FINANCIAL DETAILS

|                            |                  |                       |                 |
|----------------------------|------------------|-----------------------|-----------------|
| <b>Gross Annual Income</b> | Below ₹1 Lakh    | ₹1 to ₹5 Lakhs        | ₹5 to ₹10 Lakhs |
|                            | ₹10 to ₹25 Lakhs | ₹25 Lakhs to ₹1 Crore | Above ₹1 Crore  |

### BANK ACCOUNT DETAILS

| Bank Name and<br>Branch Address | Account Type<br>[SB/CA/NRE/NRO] | Account Number | MICR Number | IFSC Number |
|---------------------------------|---------------------------------|----------------|-------------|-------------|
|                                 |                                 |                |             |             |

### Sanctum Wealth Private Limited

### STANDING INSTRUCTIONS

|  |                 |               |
|--|-----------------|---------------|
| I/We authorise you to receive all credits automatically into my/our account without further instructions from me/us                                | Yes             | No            |
| I/We authorise you to accept all pledge instructions into my/our account without further instructions from me/us                                   | Yes             | No            |
| I/We authorise you to share my/our email ID(s) with RTAs for electronic communication of company annual reports and other notifications            | Yes             | No            |
| I/We request you to send electronic transaction-cum-holding statement, statement of account, bills & invoices to my/our registered email ID(s)     | Yes             | No            |
| Rights & Obligations of Beneficial Owner and Depository Participant, Investor Charter and Copy of Account Opening Kit to be received in:           | Electronic Form | Physical Form |
| Incase of joint holding, all communications (including above) to be sent to  | First holder    | All holders   |
| Account to be operated through Power of Attorney (POA)<br>Copy of POA attested by a Notary to be provided along with KYC of the attorney holder(s) | Yes             | No            |
| Account to be operated under Demat Debit and Pledge Instruction (DDPI)   | Yes             | No            |

### ISSUANCE OF DIS BOOKLET

Only for clients seeking to open a depository account with Power of Attorney to operate the account given to a portfolio manager.

I/We wish to receive the Delivery Instruction Slip booklet with account opening  
[Default if no option is selected]

I/We do not wish to receive the Delivery Instruction Slip booklet with account opening. However, the said booklet should be issued to me/us on my/our request at any later date

### NOMINATION DETAILS

I/We wish to make a nomination  
(Details are provided in Nomination Form Prescribed by SEBI)

I/We do not wish to opt out of make a nomination  
(Declaration Form opting out of nomination as prescribed by SEBI)

### MODE OF OPERATIONS FOR JOINT ACCOUNT

Jointly

Anyone of the holders or survivor(s)

First Named Holder only

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and / or securities and / or specific number of securities will be permitted.

### CLIENT DECLARATION

The rules and regulations of the Depository and Depository Participants 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 bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant"

Signature of First holder

Digital Signature

[Name]

Date \_\_\_\_\_

Signature of Second holder

Digital Signature

[Name]

Place \_\_\_\_\_

Signature of Third Holder

Digital Signature

[Name]

## NOTES

1. All communication shall be sent at the address/email address of the holder.
2. Thumb impressions must be attested by witness or a Magistrate or a Notary Public or a Special Executive Magistrate
3. Signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
4. The nomination and Declaration form may be signed using e-Sign facility or wet signature and in these cases, witness will not be required.
5. For receiving Statement of Account and other communication in electronic form:
  - a. Client must ensure the confidentiality of the password of the email account.
  - b. Client must promptly inform the Participant if the email address has changed.
  - c. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
6. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
7. In case 'first holder' is selected, the communication will be sent as per the preference mentioned in the table above. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned in the table above and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected.
8. Strike off whichever field is not applicable

**TARIFF STRUCTURE FOR DEPOSITORY SERVICES**

| # | Service  | Charges                       |
|---|--|-------------------------------|
| 1 | Dematerialisation of Shares                                  | NIL                           |
| 2 | Rematerialisation to Physical Shares                         | NIL                           |
| 3 | Equities: Transfer Fees for Market & Off-Market Transactions | NIL                           |
| 4 | Pledge Creation / Closure / Invocation                       | NIL                           |
| 5 | Account Maintenance Charges (pro rata)                       | ₹1500/- p.a payable quarterly |

**CLIENT DECLARATION**

I/We understand and agree:

1. Fees and charges are subject to change at the sole discretion of the Sanctum Wealth Private Limited after giving notice of 30 days.
2. All fee and charges will be exclusive of GST, Cess, Stamp Duty and other levies as applicable.
3. All charges will be billed quarterly and will be payable by clients within 5 (five) working days of receiving the invoice.
4. Sanctum Wealth Private Limited is authorized to recover these charges from my/our bank account as mentioned in the NACH Mandate submitted by me/us.

**Signature Of First Holder**

Digital Signature

 \_\_\_\_\_  
 [Name]

**Date** \_\_\_\_\_

**Signature of Second Holder**

Digital Signature

 \_\_\_\_\_  
 [Name]

**Place** \_\_\_\_\_

**Signature of Third Holder**

Digital Signature

 \_\_\_\_\_  
 [Name]

**FOR USE OF SANCTUM EMPLOYEES ONLY**

Appl. Number


**DOCUMENTS SUBMITTED BY CLIENT**

To be filled by front office staff

- PAN Card Copy
- Self-attested copy of cancelled cheque
- Downloaded CKYC/CVL Report
- Proof of Permanent & Correspondence Address  
[if different & if client not CKYC/CVL compliant]
- For NR - Passport copy  
[if not available in CKYC/CVL report]
- For NR - PIS letter & Approval letter
- 2nd Holder KYC form (if applicable)
- 3rd Holder KYC form (if applicable)
- Related Party KYC form (if applicable)
- Copy of Power of Attorney (if applicable)
- Additional Documents  
[if opted for F&O segment]
- Any other document \_\_\_\_\_

**IN-PERSON & ORIGINAL DOCUMENT VERIFICATION**

Details of employee who has performed the IPV & OSV activities

|               |       |   |
|---------------|-------|---|
| Employee Name | _____ | <p style="color: red; margin: 0;">Digital Signature</p> <div style="text-align: right;"></div> |
| Employee Code | _____ |   |
| Designation   | _____ |   |
| Date          | _____ |   |


**ACCOUNT INFORMATION**

To be filled by front office staff

|                       |           |     |
|-----------------------|-----------|-----|
| Client Name           | _____     |     |
| PAN Number            | _____     |     |
| Group Name & Code     | _____     |     |
| Head of Family?       | _____     |     |
| Name of Branch        | _____     |     |
| Name of COI           | _____     |     |
| Account Type          | Execution | PMS |
| Any Other Information | _____     |     |

**UNDERTAKING**

On behalf of Sanctum Wealth Private Limited we undertake that we have made the client aware of Policy & Procedures, Tariff Sheet and all the Voluntary documents. We have also made the client aware of Rights & Obligations document(s), RDD and Guidance Note. We have given/sent the client a copy of all the KYC documents. We undertake that any change in the Policy & Procedures, Tariff Sheet and all the Voluntary documents will be duly intimated to the client. We also undertake that any changes in the Rights & Obligations and RDD would be made available on our website, if any, for the information of the client.

|               |       |   |
|---------------|-------|---|
| Employee Name | _____ | <p style="color: red; margin: 0;">Digital Signature</p> <div style="text-align: right;"></div> |
| Designation   | _____ |   |
| Date          | _____ |   |

UCC Allotted