Sanctum Wealth

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

COWRKS Level 3, Birla Centurion, Century Mills Compound,
Pandurang Budhkar Marg, Worli, Mumbai 400 030, Maharashtra, India

Compliance Officer

Ms Mridula Iyengar
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

VOLUNTARY DOCUMENTS

DEPOSITORY ACCOUNT DOCUMENTS

OTHER DOCUMENTS

For any grievance/dispute please write to Sanctum Wealth Private Limited at the REGISTERD address, or send an email to 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 and phone number 022-2272 8097
NSE : ignse@nse.co.in and phone number 022-2659 8190 / 1800 220 058
NSDL : relations@nsdl.co.in and phone number 1800 1020 990 / 1800 224 430

Sanctum Wealth Private Limited
AMFI registered Mutual Fund Distributor I Stock- Broker I Depository Participant I Portfolio Manager I Research Analyst
COWRKS Level 3, Birla Centurion, Century Mills Compound, Pandurang Budhkar Marg, Worli, Mumbai 400030, India, Maharashtra | CIN # U74140MH2015PTC264932.
Version – 202308.01

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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 Select Any One

Account Type Select Any One

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 Select Any One

Marital Status Select Any One

Resident Status Select Any One

Citizenship Select Any One

Country ______________________

[If Citizenship is not "Indian"]

Occupation Select Any One

Other Occ. ______________________

Political Exposure Select Any One

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)

____

____

____

City/Town/Village ______________________

District ______________________

State/UT ______________________

Zip/Post Code ______________________

Country ______________________

State/UT Code ____

[As per Indian Motor Vehicle Act, 1988]

Country Code ____

[As per ISO 3166]

Sanctum Wealth

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)

____

____

____________________ City/Town/Village ____________________

District ____________________ State/UT ____________________

Zip/Post Code ____________________ Country ____________________

State/UT Code ____ [As per Indian Motor Vehicle Act, 1988]

Country Code ____ [As per ISO 3166]

Residence Type Select Any One

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: Select Any One Belongs to: Select Any One

Telephone ____________________ [Office phone] Telephone ____________________ [Residence phone]

☐ 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 Select Any One

Net Worth [₹ Lakhs] ____________________ Net Worth Date ____________________

Sanctum Wealth

☐ **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			

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]

Sanctum Wealth

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 & 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 derivate 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

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 seperate form

Sanctum Wealth Private Limited
AMFI registered Mutual Fund Distributor I Stock- Broker I Depository Participant I Portfolio Manager I Research Analyst
COWRKS Level 3, Birla Centurion, Century Mills Compound, Pandurang Budhkar Marg, Worli, Mumbai 400030, India, Maharashtra | CIN # U74140MH2015PTC264932.
Version 202308.01

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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.

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' and 'Investor Charter'. 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

[Name]

Date ____

Place ____

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BROKERAGE & STATUTORY CHARGES

Cash Market/Capital Market

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

Future & 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]

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ELECTRONIC CONTRACT NOTE AUTHORISATION

(IF ECN IS TO BE SENT TO A RELATIVE)

To,
Sanctum Wealth Private Limited
COWRKS Level 3, Birla Centurion, Century Mills Compound
Pandurang Budhkar Marg, Worli,
Mumbai 400030, India

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 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*

Digital Signature

Date ____________________

Place ____________________

[Name]

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

Sanctum Wealth

RUNNING ACCOUNT AUTHORISATION

To,
Sanctum Wealth Private Limited
COWRKS Level 3, Birla Centurion, Century Mills Compound
Pandurang Budhkar Marg, Worli,
Mumbai 400030, India

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*

Digital Signature

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
COWRKS Level 3, Birla Centurion, Century Mills Compound
Pandurang Budhkar Marg, Worli,
Mumbai 400030, India

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

DEPOSITORY PARTICIPANT NAME	DP ID	DATE	CLIENT ID
Sanctum Wealth Private Limited COWRKS Level 3, Birla Centurion, Century Mills Compound, PB Marg, Worli, Mumbai 400 030	**IN303956**	____________________ [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).

Name of Sole/ First Holder ____
[Prefix] [First Name] [Middle Name] [Last Name]

PAN Number ____________________ **Date of Birth** ____________________

Name of Second Holder ____
[Prefix] [First Name] [Middle Name] [Last Name]

PAN Number ____________________

Name of Third Holder ____
[Prefix] [First Name] [Middle Name] [Last Name]

PAN Number ____________________

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

	Sole/First Holder	Second Holder	Third Holder
SMS Alert on Mobile Phones	☐ 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)

Guardian's Name ______________________________ **PAN Number** ____________________

Relationship With Minor ______________________________

TYPE OF ACCOUNT

Account Type

- ○ 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.

Entity Name ____

PAN Number ____________________ **GST Number** ____________________

DETAILS FOR NRIs/FOREIGN NATIONALS

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

RBI Approval Ref. Number ____________________ **RBI Approval Date** ____________________ [In DD/MM/YYYY Format]

FINANCIAL DETAILS

Gross Annual Income

- ○ 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 Branch Address	Account Type [SB/CA/NRE/NRO]	Account Number	MICR Number	IFSC Number

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) 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)

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.

Signature of First holder	Signature of Second holder	Signature of Third Holder
Digital Signature	Digital Signature	Digital Signature
[Name]	[Name]	[Name]

Date ______________________ **Place** ______________________

NOTE
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:
6. Client must ensure the confidentiality of the password of the email account.
7. Client must promptly inform the Participant if the email address has changed.
8. 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.
9. 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.
10. 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.
11. 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	Signature of Second Holder	Signature of Third Holder
Digital Signature	Digital Signature	Digital Signature
[Name]	[Name]	[Name]

Date ____________________

Place ____________________

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Version 202308.01

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 ____________________

Employee Code ____________________

Designation ____________________

Date ____________________

Digital Signature

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 ____________________

Designation ____________________

Date ____________________

Digital Signature

UCC Allotted

Sanctum Wealth Private Limited

AMFI registered Mutual Fund Distributor I Stock- Broker I Depository Participant I Portfolio Manager I Research Analyst

COWRKS Level 3, Birla Centurion, Century Mills Compound, Pandurang Budhkar Marg, Worli, Mumbai 400030, India, Maharashtra | CIN # U74140MH2015PTC264932.

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