

INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

A. Important points

1. Self attested copy of PAN card is mandatory for all clients, including Promoters /Partners /Karta /Trustees and whole time directors and persons authorised to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license..
2. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
3. Identity card / document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA)

List of documents admissible as Proof of Address:(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary Public / Elected representatives to the Legislative Assembly/ Parliament /Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarised and / or apostilled or consularized) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds up to Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorised to attest the documents

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial / Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorised officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of Assets.	Self declaration with relevant supporting documents.

In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

G. Copy of cancelled cheque leaf/ passbook/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- A. Stock broker has an option of doing 'in-person' verification through a web camera at the branch office of the stock broker/sub- broker's office.
- B. In case of non-resident clients, employees at the stock broker's local office overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

- A. Form need to be initialised by all the authorised signatories.
- B. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company/others & their specimen signatures.

INDEX OF DOCUMENTS

S.No.	Name of the Document	Significance of Document	Page(s)
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist for filling KYC form. B. Document captures the additional information about the Constituent relevant to trading account	1-2 8-14
2	Rights and Obligations	Provided to the client (consent declaration on Page)	31
3	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Page)	31
4	Guidance Note	Provided to the client (consent declaration on Page)	31
5	Policies and Procedures	Provided to the client (consent declaration on Page)	31
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	20-22
7	Application for Demat Account	Details are required for adhering to "Know your Client" for opening a Demat Account	3-7
8	Rights and Obligations	Provided to client(consent declaration on Page)	31
9	Authorization for Debit charges	Authorization to debit trading account for demat account charges	16
10	Authorization	Letter of Authorization for maintaining a Running Account with Finwizard and Electronic Contract Notes	17
11	Nomination details	Collects details of any nomination made for the account	23-28
12	DIS Issue	Optional form for issue of Delivery Instruction Slip	29
13	Client Defaulter Declaration, Client Acknowledgement and Mobile Declaration	Client declaration stating that he is not a defaulter and Client acknowledgment that he has read all the rules & regulations and Client consent letter for receiving SMS from Finwizard	30

COMPANY DETAILS

Name of the Trading Member	FINWIZARD TECHNOLOGY PRIVATE LIMITED (hereinafter referred to as "Finwizard")
Name of the Clearing Member	FINWIZARD TECHNOLOGY PRIVATE LIMITED
Cash Segment	NSE BSE
Derivatives Segment	NSE F&O CDS
SEBI Registration Details	FINWIZARD TECHNOLOGY PRIVATE LIMITED NSE and BSE : INZ000209036 CDSL Depository Services : IN-DP-572-2021
Registered Office Address	Queens Paradise, No. 16/1, 1st Floor Curve Road, Shivaji Nagar, Bengaluru, Karnataka 560071
Correspondence Address	Finwizard Technology Private Limited, Kanakia Wall Street, Office Unit No. 1002, A Wing, 10th Floor, Andheri Kurla Road, Chakala, Andheri (East), Mumbai – 400 093
Compliance Officer	Krishna Jakkula Email: broking.compliance@fisdom.com Phone: +91 89519 49507
Chief Executive Officer	Rakesh Singh Email : ceo@fisdom.com Phone : +91 74001 67405
Grievance Redressal Process	For any grievance, please write to: grievance@fisdom.com
In case not satisfied with the response, please contact the concerned exchange at:	
NSE: Email: ignse@nse.co.in Ph: 022-26598100 BSE: Email: is@bseindia.com Ph: 022-22728097	

Know Your Client (KYC) Application Form (For Individuals Only) Please fill the form in ENGLISH and in BLOCK letters Fields marked * are mandatory Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also	 CDSL VENTURES LIMITEDExploring New Horizons	Intermediary Logo
Application Number: _____ Application Type*: ☐ New KYC ☐ Modification KYC		
KYC Mode*: Please Tick (✓) ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker		
1. Identity Details (please refer guidelines overleaf)		
PAN* _____ Please enclose a duly attested copy of your PAN Card Name* (same as ID proof) _____ Maiden Name* (if any) _____ Fathers/Spouse's Name* _____ Date of Birth* _____ Gender* ☐ Male ☐ Female ☐ Transgender Marital Status* ☐ Single ☐ Married Nationality* ☐ Indian ☐ Other _____ Residential Status* ☐ Resident Individual ☐ Non Resident Indian Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin+ (Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)		
Recent passport size Applicant Photo Cross Signature across photograph		
Proof of Identity (POI) submitted for PAN exempted cases (Please tick) ☐ A — Aadhaar Card XXXX XXXX _ _ _ _ _ (Expiry Date) _____ ☐ B — Passport Number _____ (Expiry Date) _____ ☐ C — Voter ID Card _____ (Expiry Date) _____ ☐ D — Driving License _____ ☐ E — NREGA Job Card _____ ☐ F — NPR _____ ☐ Z — Others _____ (any document notified by Central Government) Identification Number _____		
2. Address Details* (please refer guidelines overleaf)		
A. Correspondence/ Local Address* Line 1* _____ Line 2 _____ Line3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____ Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified		
		Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line 3 _____

City/
Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

Address Type* Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

A — Aadhaar Card XXXX XXXX _ _ _ _ _

B — Passport Number _____ (Expiry Date) _____

C — Voter ID Card _____

D — Driving License _____ (Expiry Date) _____

E — NREGA Job Card _____

F — NPR Letter _____

Z—Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details (in CAPITAL)

Email ID* _____

Mobile No. * _____

Tel (off) _____ Tel (Res) _____

4. Applicant Declaration

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

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation <u>Manager</u>	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name : FINWIZARD TECHNOLOGY PVT LTD
Employee Signature and Stamp	Institution Name and Stamp

ADDITIONAL KYC DETAILS FOR DEMAT ACCOUNT

TO BE FILLED BY THE DEPOSITORY PARTICIPANT	
APPLICATION NUMBER	
DP REFERENCE NUMBER	
DP ID	
BO ID	
DATE	

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

Sole/ First Holder Name		PAN		UID	
Second Holder Name		PAN		UID	
Third Holder Name		PAN		UID	

Details of guardian in case the account holder is minor

GUARDIAN'S NAME	
RELATIONSHIP WITH APPLICANT	PAN NO.

A. TYPE OF ACCOUNT

STATUS	SUB-STATUS
INDIVIDUAL	INDIVIDUAL RESIDENT INDIVIDUAL DIRECTOR INDIVIDUAL DIRECTOR'S RELATIVE INDIVIDUAL HUF/AOP INDIVIDUAL MARGIN TRADING ACCOUNT (MANTRA) PROMOTER MINOR

	OTHERS _____
NRI	NRI REPATRIABLE NRI NON-REPATRIABLE NRI REPATRIABLE PROMOTER NRI NON-REPATRIABLE PROMOTER NRI DEPOSITORY PARTICIPANTS OTHERS _____
FOREIGN NATIONAL	FOREIGN NATIONAL FOREIGN NATIONAL DEPOSITORY RECEIPTS OTHERS _____

B. BANK ACCOUNT DETAILS (BANK WILL BE CONSIDERED FOR PAYOUT OF FUNDS & DIVIDEND)

ACCOUNT NUMBER		ACCOUNT TYPE	
MICR CODE		IFSC CODE	
BANK NAME		BRANCH NAME	
CITY		STATE	
COUNTRY		PIN CODE	

i. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
ii. Photocopy of the Bank Statement having name and address of the BO
iii. Photocopy of the Passbook having name and address of the BO, (or)
iv. Letter from the Bank
In case of options (ii), (iii) and (iv) above, IFSC code of the branch should be present / mentioned on the document.

C. SMS ALERT FACILITY

Refer to Terms & Conditions given as Annexure - 2.4

MOBILE NUMBER	
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NOTE:

Mandatory, if you are giving Power of Attorney (POA)

(If POA is not granted & you do not wish to avail of this facility, cancel this option).

D. EASI

To register for Easi please visit our website www.cdslindia.com

Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

E. OTHER DETAILS

Number of years of investment / Capital Market Experience	NIL 1-3Yr 3-5Yr >5Yr
Gross Annual Income	< 1 Lakh 1-5 Lakh 5-10 Lakh 10-25 Lakh 25 Lakh -1 Crore >1 Crore
Or Net Worth	Net Worth in Rupees : As on Date : <i>*Net worth should not be older than 1 year</i>
Nature of Business/Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Specify) _____
Politically Exposed Person (PEP)	NO Politically Exposed Related to Politically Exposed Person

F. BASIC SERVICES DEMAT ACCOUNT (BSDA)

I / We wish to avail the following facility:

YES

NO

G. AUTHORIZATION BY CLIENT

I/We hereby authorize you to receive credits automatically into my/ our Depository participant maintained with Finwizard Technology Private Limited. <i>(If not marked, the default option would be 'Yes')</i>	YES NO
I/We wish to instruct Finwizard Technology Private Limited to accept all pledge instructions to my account without any further instructions from me/us. <i>(If not marked, the default option would be 'No')</i>	YES NO
I/We wish to receive account statements as per SEBI Regulations.	DAILY WEEKLY FORTNIGHTLY MONTHLY
I/We would like to share the email id with RTA	YES NO
I/We wish to receive annual report	PHYSICAL ELECTRONIC BOTH PHYSICAL AND ELECTRONIC
I/We hereby authorize you to credit interest / dividend, directly to my bank account details provided above through ECS. <i>If not marked, the default option would be 'Yes' [ECS is mandatory for locations notified by SEBI from time to time]</i>	YES NO
I/We request you to send an Electronic Transaction-cum-Holding Statement at the email ID mentioned.	YES NO Email Address :

H. NOMINATION DETAILS

Select the relevant options

I / We do wish to nominate (Fill Annexure 1A)	
I / We do not wish to nominate	

First Holder Signature	Second Holder Signature	Third Holder Signature
Date	Date	Date

TRADING AND DEMAT ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS (BANK WILL BE CONSIDERED FOR PAYOUT OF FUNDS & DIVIDEND)

ACCOUNT NUMBER		ACCOUNT TYPE	
MICR CODE		IFSC CODE	
BANK NAME		BRANCH NAME	
ADDRESS & CITY		STATE	
COUNTRY		PIN CODE	
i. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) ii. Photocopy of the Bank Statement having name and address of the BO iii. Photocopy of the Passbook having name and address of the BO, (or) iv. Letter from the Bank In case of options (ii), (iii) and (iv) above, IFSC code of the branch should be present / mentioned on the document.			

B. DEPOSITORY ACCOUNT DETAILS

DEPOSITORY NAME	CDSL
DEPOSITORY PARTICIPANT NAME	FINWIZARD TECHNOLOGY PRIVATE LIMITED
BENEFICIARY NAME	
DP ID	
BENEFICIARY ID	

C. TRADING PREFERENCES

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

* F&O and Currency is only for NSE

EXCHANGES	NSE & BSE		
All Segments	CASH / Mutual Fund	F&O	CURRENCY
If you do not wish to trade in any of segments / Mutual Fund, please mention here			

D. PAST ACTIONS

Details of any action/ proceedings initiated/ pending/ taken by SEBI/ Stock Exchange/ any other authority against the applicant/ constituent or its Partners/ promoters/ whole time directors/authorized persons in charge of dealing in securities during the last 3 years:		
YES	NO	If YES Please Specify :

E. DEALINGS THROUGH OTHER STOCK BROKERS

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker		SubBroker, if any	
Client Code		Exchange(s)	
Website			
Details of disputes/dues pending from/to such broker			

F. INTRODUCER DETAILS (OPTIONAL)

Name of Introducer	
Status of Introducer : Sub-Broker/Remisier/Authorize	

d Person/ Existing Client			
Address of Introducer			
Phone Number		Signature	

H. AUTHORIZATION BY CLIENT (NON-MANDATORY)

Contract Note Preferences	ELECTRONIC CONTRACT NOTE (ECN) PHYSICAL CONTRACT NOTE If ECN specify your Email Address :
I/We wish to avail the facility of mobile/digital/web/internet based trading technology.	YES NO
I/We hereby authorize you to use the above furnished details for registration KRA, CERSAI, exchanges and other parties involved for the purpose of KYC registration.	YES NO
I/We hereby authorize Finwizard Technology Private Limited to debit my depository participant account based on 2-factor authentication or electronic consent or authorization given by me.	YES NO
I/we hereby authorize Finwizard Technology Private Limited and depository to provide SMS/E-mail alert facility on my registered mobile number.	YES NO
Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note:	PHYSICAL ELECTRONIC
I/We authorize Finwizard Technology Private Limited to debit all charges pertaining to my/our depository participant to my/our trading account and vice versa. All such transfers will be at the discretion of Finwizard Technology Private Limited and I/we hereby agree to abide by the same and make payment promptly when requested to do so.	YES NO

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DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read/expained and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
4. I have received and read/expained the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I declare that the particulars given by me above are true and to the best of my knowledge as on the date of making this application. I agree and undertake to intimate the DP any change(s) in the details / particulars mentioned by me in this form. I further agree that any false / misleading information given by me or suppression of any material information will render my account liable for termination and suitable action.
5. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such account.

Name	Place
Signature 	Date

FOR OFFICE USE ONLY

UCC CODE

	Documents Verified with Originals	Client interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			

Designation of employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory	
Date	
Seal/Stamp of Broker	FINWIZARD TECHNOLOGY PVT LTD SEBI REGISTERED STOCK BROKER INZ000209036

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

	First Holder	Second Holder	Third Holder
CLIENT NAME			
Are you a tax resident of only India? (Refer Risk Disclosure Document)	YES	N/A	N/A
Specify country of residence for tax purpose (if above clause is no)	N/A	N/A	N/A
Specify Tax Identification No. / Others	N/A	N/A	N/A
Do you have any assets outside India?	NO	N/A	N/A
Source of wealth	Salary Business Gift Prize Money Other Rental Income Ancestral Property	Salary Business Gift Prize Money Other Rental Income Ancestral Property	Salary Business Gift Prize Money Other Rental Income Ancestral Property
I / We hereby declare, agree and confirm the following: a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform Finwizard Technology Private Limited within 30 days, in case of any change in the above given status on a future date; b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details would be reported by Finwizard Technology Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;			

First Holder Signature	Second Holder Signature	Third Holder Signature

What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, the Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange of information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

US Person means: In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in the United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

Who is a Reportable Person (Non US) under Common Reportable Standards (CRS)? Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than the U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate Of relinquishment of citizenship(Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment US.citizenship;OR
3. Self certification for stating reasons for not obtainingU.S. citizenship at birth.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKER TO THE CLIENT

(ALL THE CLAUSES MENTIONED IN THE 'RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE.
ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Name	Place
Signature 	Date

AUTHORISATION TO DEBIT TRADING ACCOUNT FOR THE DEMAT ACCOUNT CHARGES

To,
 Finwizard Technology Private Limited
 Queens Paradise, No. 16/1, 1st Floor,
 Curve Rd, Shivaji Nagar,
 Bengaluru, Karnataka 560051

Dear Sir,

Sub: Authorisation to debit trading account for the demat account charge

Ref:

DP ID :	BO ID :
---------	---------

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult for me/us to keep issuing separate cheques against your depository bills.

I/We, therefore, authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,

Yours truly

Name	Place
Signature 	Date

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT

To,
Finwizard Technology Private Limited
Queens Paradise, No. 16/1, 1st Floor,
Curve Rd, Shivaji Nagar,
Bengaluru, Karnataka 560051

I/We are dealing through you as a client in the Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (choose one option)
Once in a calendar Month

Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt

4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. This running account authorization would continue until it is revoked by me.

Name	Place
Signature 	Date

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from Finwizard Technology Pvt. Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ demat transaction statement / holding statement (s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id). E-mail Id : _____

I/We further hereby agree that the Finwizard Technology Pvt. Limited shall fulfil the legal obligation, if the above documents are sent electronically to the said email id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/ our personal Email id. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above mentioned email account. Finwizard Technology Pvt. Limited shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
2. E-mails sent to any of the above mentioned e-mail accounts, which have not bounced back, shall be deemed to be duly delivered to me/Us. I am aware that non-receipt of bounced email notification by the member shall amount to delivery of the Contract Note and other documents to the above mentioned email ID (s).
3. Finwizard Technology Pvt. Limited shall not take cognizance of out-of -office/ out of station auto replies and I/We shall be deemed to have received such electronic mails. Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by Finwizard Technology Pvt. Limited.
4. Finwizard Technology Pvt. Limited shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
5. Finwizard Technology Pvt. Limited shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from Finwizard Technology Pvt. Limited.
6. I/We shall inform Finwizard Technology Pvt. Limited by way of a letter in writing duly signed by me or informed through an internet platform if there is any change in the Email given above.
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with Finwizard Technology Pvt. Limited. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time.
8. I/We shall immediately inform Finwizard Technology Pvt. Limited about change in email address, if any. I/We further agree that Finwizard Technology Pvt. Limited will not be responsible for non receipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc.
9. Further I/We agree and undertake to indemnify Finwizard Technology Pvt. Limited and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.
10. In case of bounced email, Finwizard Technology Pvt. Limited shall send physical copy of contract note to me/Us within the stipulated time under the extant regulations of SEBI/stock exchanges.

Name	Place
Signature 	Date

AVAILING MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY/ BSE STAR MUTUAL FUND (HEREINAFTER JOINTLY REFERRED TO “MUTUAL FUND TRANSACTION FACILITIES”)

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and BSE StAR MUTUAL FUND of NSE and BSE respectively. I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MUTUAL FUND).

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated 24/11/09, BSE Circular dated 02/12/2009 and further circulars as may be specified by the Exchanges from time to time in this regard. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

For the said purpose of availing these facilities, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in the same remain unchanged as on date.

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

Name	Place
Signature 	Date

TARIFF SHEET

UCC		Date	
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To,
 Finwizard Technology Private Limited
 Queens Paradise, No 16/1, 1st Floor,
 Curve Road, Shivaji Nagar,
 Bengaluru, Karnataka, 560051

Dear Sir or Madam,

I would like to subscribe to the Finwizard Technology Private Limited for trading and demat account and request Finwizard Technology Private Limited to apply brokerage charges as mentioned and as per the terms and conditions of Finwizard Technology Private Limited

I/We agree to pay the charges as per following charge structure with Finwizard Technology Private Limited

ACCOUNT OPENING FEE	FREE ₹ 299/- ₹ 399/- ₹ 499/- ₹	
BROKERAGE	CHARGE HEAD	BROKERAGE/CHARGES
	Equity Delivery	
	Equity Intraday	
	Equity Futures	
	Equity Options	
	Currency Futures	
	Currency Options	
	Call & Trade Services	
	Margin Trade Funding	

SCHEDULE OF DEMAT CHARGES

CHARGE HEAD	CHARGES
Annual Maintenance Charges	
Statutory charges at time of Account Opening	
Transaction Charges: Buy(Receive)	
Transaction charges: Sell/Debit	
Pledge Charges Creation / Closure	
Pledge Invocation	
Dematerialisation Charges	
Rematerialisation Charges	
Failed / Rejected Transactions	
Destat/Restat Charges	

COMMON CHARGES

In addition to the above charges, the following statutory charges will also be levied at actuals

1. Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST.
2. Adhoc Statement (physical) - ₹ 25/- per request & ₹ 10/- per page + courier charges ₹ 100/- for Indian Address & Actual courier/postage charges for foreign address.
3. Cheque Bounce charges - ₹ 100/- + actual Bank charges.
4. Electronic Contract Notes are free. Physical Contract note copies are chargeable on a per contract note basis (for ECN clients) + Courier charges as applicable.
5. Delayed payment charges will be levied at 24% a year or 0.06% per day on the debit balance in your trading account.
6. Additional charges of ₹ 50/- order will be charged for positions auto squared off by Finwizard

7. Payment gateway charges of ₹ 10/- transfer of funds into trading account are applicable
8. Depository Participant Charges levied by Finwizard Technology Private Limited, Terms And Conditions can be subject to change provided the same is done as per applicable guidelines of SEBI/exchange.
9. The terms and conditions of the Finwizard Technology Private Limited plans have been read and understood by me. I wish to avail the plans above provided by Finwizard Technology Private Limited formy trading account subject to the terms and conditions mentioned above.
10. I declare that I have read and understood the terms and conditions governing the Finwizard Technology Private Limited.
- Note : Brokerage charged shall not exceed 2.5% of transaction value as per SEBI norms.

GENERAL CONDITIONS

For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum notice for payment and Finwizard Technology Private Limited reserves the right to Freeze Depository account for debit transaction in case of non payment of charges after two days from the bill date.

The above tariff is subject to change. Changes if any be intimated 30 days in advance. GST and other taxes applicable on all above charges.

Name	Place
Signature 	Date

NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date :

BO ID	DP ID	UCC
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I/We wish to make a nomination. [As per details given below]

NOMINATION DETAILS I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.			
Nomination can be made upto three nominees in the account.	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of Nominee(s)			
Share of each nominee	%	%	%
Distribute Equally [If not equally, please specify percentage]	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship with applicant (if any)			
Address of Nominee(s)			
City			
State			
Country			
Pin Code			
#Mobile/Telephone Number of Nominee(s)			

#Email ID of Nominee(s)			
#Nominee Identification details (Please tick one of the following and share details)	Photograph and Signature PAN AADHAAR Saving Bank Account No. Demat Account ID	Photograph and Signature PAN AADHAAR Saving Bank Account No. Demat Account ID	Photograph and Signature PAN AADHAAR Saving Bank Account No. Demat Account ID
Below Details to be filled only if nominee is Minor			
Date of Birth			
Name of Guardian			
Address(s) of Guardian City State Country Pin Code			
#Mobile/Telephone Number of Guardian(s)			
#Email ID of Guardian(s)			
Relationship of Guardian with nominee			
#Guardian Identification details (Please tick one of the following and share details)	Photograph and Signature PAN AADHAAR Saving Bank Account No.	Photograph and Signature PAN AADHAAR Saving Bank Account No.	Photograph and Signature PAN AADHAAR Saving Bank Account No.

	Demat Account ID	Demat Account ID	Demat Account ID
	Proof of Identity	Proof of Identity	Proof of Identity

DECLARATION

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

First Holder Name	Second Holder Signature	Third Holder Signature
Date	Date	Date

Note : Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

optional fields

----- TO BE FILLED BY THE Broker -----

Nomination Form accepted and registered with registration number

Date

FINWIZARD TECHNOLOGY PRIVATE LIMITED

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ACKNOWLEDGEMENT RECEIPT

Received the nomination request for the account :

BO ID	
DP ID	
UCC	
Account holder's name	

Address	
Nomination in favour of	
First Nominee	
Second Nominee	
Third Nominee	
Registration Number	
Registered on date	

DECLARATION FORM FOR OPTING OUT OF NOMINATION

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

Date :

BO ID	DP ID	UCC
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To,
Finwizard Technology Private Limited
Queens Paradise, No. 16/1,
1st Floor, Curve Rd, Shivaji Nagar,
Bengaluru, Karnataka 560051

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

First Holder Signature	Second Holder Signature	Third Holder Signature
Date	Date	Date

=====

ACKNOWLEDGEMENT RECEIPT

Received the nomination request for the account :

BO ID	
DP ID	

UCC	
Account holder's name	
Address	

OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID	BO ID
DATE	

To,
 Finwizard Technology Private Limited Queens Paradise, No. 16/1,
 1st Floor, Curve Rd, Shivaji Nagar, Bengaluru, Karnataka 560051

Dear Sir,
 I/We hereby state that: (select one of the option given below)

OPTION 1	I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for eDIS / executed PMS agreement in favour of / with Finwizard Technology Pvt. Ltd. for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.
OPTION 2	I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/ registered for eDIS / executed PMS agreement in favour of / with Finwizard Technology Pvt. Ltd. for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

First Holder Signature	Second Holder Signature	Third Holder Signature
Date	Date	Date

CLIENT DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Name	Place
Signature 	Date

MOBILE DECLARATION

EMAIL ID	
MOBILE NUMBER	

I _____ having PAN _____ do hereby declare that my mobile no./email ID as mentioned in the account opening form is my own. Further, I authorize Finwizard Technology Private Limited that the same may be used for giving me any information/ alert/SMS. I further declare the above mentioned statement is true and correct.

Name	Place
Signature 	Date

ACKNOWLEDGEMENT LETTER

To,
 Finwizard Technology Private Limited
 Queens Paradise, No. 16/1,
 1st Floor, Curve Rd, Shivaji Nagar,
 Bengaluru, Karnataka 560051

Dear Sir/Madam,

This is to acknowledge the receipt of the following documents in ☐ PHYSICAL ☐ ELECTRONIC mode.
 I further state and confirm that I have read, understood, acknowledged and agreed to all the clauses of below mentioned documents

S.No.	Brief Significance of Document
1	Duly Executed Copy of KYC.
2	Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet /wireless technology based trading) and Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.
3	Risk Disclosure document (RDD) for Capital market and Derivatives Segments.
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors.
5	Finwizard Technology Pvt. Ltd. Tariff Sheet.
6	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7	General Terms & Conditions governing securities trading and broking services of Finwizard Technology Pvt. Ltd.
8	Running account authorisation, Mobile declaration & Client defaulter declaration.

I/We understand that voluntary documents executed by me / us are out of my /our own free will

First Holder Signature	Second Holder Signature	Third Holder Signature
Date	Date	Date

PAN CARD



Stamp and Seal of
Finwizard Technology Pvt Ltd



Signature of Applicant

PROOF OF ADDRESS : FRONT(POA)

Stamp and Seal of
Finwizard Technology Pvt Ltd

Signature of Applicant

PROOF OF ADDRESS:BACK (POA)

Stamp and Seal of
Finwizard Technology Pvt Ltd

Signature of Applicant

SIGNATURE DETAILS

NAME OF CUSTOMER	
PAN Number	
Signature as per Finwizard Technology Pvt Ltd records	
E- Signature	

PROOF OF BANK ACCOUNT

Stamp and Seal of
Finwizard Technology Pvt Ltd

Signature of Applicant

PHOTOGRAPH DETAILS

NAME OF CUSTOMER	
PAN NUMBER	
PHOTOGRAPH	
APPROVED TIMESTAMP	
GEO-LOCATION CO-ORDINATES	
E-SIGNATURE	

PROOF OF IDENTITY : FRONT

Stamp and Seal of
Finwizard Technology Pvt Ltd

Signature of Applicant

PROOF OF IDENTITY : BACK

Stamp and Seal of
Finwizard Technology Pvt Ltd

Signature of Applicant