

## ACCOUNT OPENING KIT

### INDEX OF DOCUMENTS

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<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form Application For Demat Account	A. KYC,KRA & CKYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account along with an instruction/check list. C. Details are required for adhering to "Know Your Client" for opening a DEMAT Account. D. Standing instruction	1 - 10
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9	Rights & Obligation of SEBI	Document stating the Rights & Obligations of stock & Commodity Broker, Authorised Person and client for trading on exchanges & Beneficial Owner and Depository Participant (Including additional rights & obligations in case of internet/wireless technology-based trading)	
10	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market & Commodities Market & Additional RDD for Option Trading	
11	Guidance note	Document detailing do's and dont's for trading on exchange for education of investors	
<b>NON MANDATORY/VOLUNTARY DOCUMENTS</b>			
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Provided to client, Consent taken on acknowledgement page

# ARHAM WEALTH MANAGEMENT PVT. LTD.

Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5C,  
Gift City, Gandhinagar Gujarat-382355



Exchange	Segment	Registration No's	Date of Registration
NSE	Cash Segment	SEBI Reg. No. INZ 000189034 Broker Code 90030	14/08/2014
NSE	F & O Segment	SEBI Reg. No. INZ 000189034 Broker Code 90030	14/08/2014
NSE	Currency Segment	SEBI Reg. No. INZ 000189034 Broker Code 90030	14/08/2014
NSE	SLB	SEBI Reg. No. INZ 000189034 Broker Code 90030	24/04/2019
BSE	SLB	SEBI Reg. No. INZ 000189034 Broker Code 6565	08/08/2018
BSE	Cash Segment	SEBI Reg. No. INZ 000189034 Broker Code 6565	23/07/2014
BSE	F & O Segment	SEBI Reg. No. INZ 000189034 Broker Code 6565	19/08/2020
BSE	Currency Segment	SEBI Reg. No. INZ 000189034 Broker Code 6565	16/01/2015
BSE	Commodity	SEBI Reg. No. INZ 000189034 Broker Code 6565	28/09/2018
NSE	Commodity	SEBI Reg. No. INZ 000189034 Broker Code 90030	01/10/2018
MCX	Commodity	SEBI Reg. No. INZ 000189034 Broker Code 9085	12/07/2018
NCDEX	Commodity	SEBI Reg. No. INZ 000189034 Broker Code F01159	29/12/2016
ICEX	Commodity	SEBI Reg. No. INZ 000189034 Broker Code 2027	07/06/2017
CDSL	Depository Service	SEBI Reg. No. IN-DP-CDSL-456-2020	30/12/2019

## CLEARING MEMBER

<b>Globe Capital Market Limited</b> 609, Ansal Bhawan, 16, KG Marg, Connaught Place, New Delhi 110001	NSE F&O (SEBI Reg.No. INZ000177137)	03/07/2020
	NSE CD (SEBI Reg.No. INZ000177137)	03/07/2020
	BSE F&O (SEBI Reg.No. INZ000177137)	05/08/2020
	BSE CD (SEBI Reg.No. INZ000177137)	08/05/2023
	NSE Commodity (SEBI Reg.No. INZ000024939)	31/08/2019
	BSE Commodity (SEBI Reg.No. INZ000024939)	26/08/2019
<b>NSE CLEARING LTD.</b> Exchange Plaza, C-1, Block G, Bandra Kurla Complex, Bandra (East), Mumbai-400 051.	NSE CASH	08/07/2019
	BSE CASH	08/07/2019
	NSE SLB	24/04/2019
<b>Multi Commodity Exchange Clearing Corporation Limited</b> CTS No. 255, Exchange Square, Suren Road, Andheri (E) Mumbai.	MCX Commodity (SEBI Reg.No. INZ000189034)	23/11/2022
<b>National Commodity Clearing Limited.</b> Ackruti Corporate Park Near G.E. Garden, L.B.S. Road, Kanjumarg (W) Mumbai.	NCDEX Commodity (SEBI Reg.No. INZ000189034)	27/09/2023
<b>Indian Clearing Corporation Limited</b> P. J. Towers, Dalal Street, Fort, Mumbai - 400 001.	BSE SLB	02/08/2018

Particulars	Registered & Correspondence Office		
Address	<b>Arham Wealth Management Pvt. Ltd.</b> Reg. Office Add.: Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5C, Gift City, Gandhinagar Gujarat-382355		
	Correspondence Add. : B-2, Ground Floor, International Trade Centre, Majuragate, Ring Road, Surat-395002.		
Tel. No.	0261-6941040		
E-mail	customercare1@arhamwealth.com	Website	www.arhamwealth.com

Particulars	Compliance Officer Details	CEO Details
Name	Kalpesh Parekh	Jitendra A. Chauhan
Tel. No.	0261-6941042	0261-6941057
E-mail	Kalpesh.parekh@arhamwealth.com	arhamwealthsurat@gmail.com

For any grievance / dispute please contact Arham Wealth Management Pvt. Ltd. at the above address or email id [compliance@arhamwealth.com](mailto:compliance@arhamwealth.com) and Phone No. 0261-6941040

In case not satisfied with the response, please contact the concerned exchange (s) as under :

Particulars	NSE	BSE	MCX	NCDEX	ICEX
E-mail	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>	<a href="mailto:askus@ncdex.com">askus@ncdex.com</a>	<a href="mailto:grievance@icex.com">grievance@icex.com</a>
Tel. No.	+ 91 22 2659 8190	+ 91 22 2272 8138	+91 22 6731 8888	1800 2662339	+91 22 4038 1500

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### IMPORTANT NOTE

 Signature of the Client     Signature of Second Holder     Signature of Third Holder  
 Signature of the Witness     Signature of the Broker     Introducer Signature

### 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 authorized to deal in securities on behalf of company/firm/others.	<input type="radio"/>
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 authorized for attesting the documents, as per the below mentioned list.	<input type="radio"/>
3	If any proof of identity or address is in a foreign language, then translation into English is required.	<input type="radio"/>
4	Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.	<input type="radio"/>
5	If correspondence & permanent address are different, then proofs for both have to be submitted.	<input type="radio"/>
6	Sole proprietor must make the application in his individual name & capacity.	<input type="radio"/>
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.	<input type="radio"/>
8	For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.	<input type="radio"/>
9	In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.	<input type="radio"/>
10	For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.	<input type="radio"/>
11	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.	<input type="radio"/>

### B. PROOF OF IDENTITY (POL) LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY

1	Unique Identification Number (UID) (Aadhaar)/ Passport/Voter ID card/Driving license.	<input type="radio"/>
2	PAN card with photograph.	<input type="radio"/>
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.	<input type="radio"/>

**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.	<input type="radio"/>
2	Utility bills like Telephone Bill (only BSNL), Electricity bill or Gas bill- Not more than 3 months old.	<input type="radio"/>
3	Bank Account Statement/Passbook - Not more than 3 months old.	<input type="radio"/>
4	Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.	<input type="radio"/>
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.	<input type="radio"/>
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.	<input type="radio"/>
7	For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.	<input type="radio"/>
8	The proof of address in the name of the spouse may be accepted.	<input type="radio"/>

**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.	<input type="radio"/>
2	Investors residing in the state of Sikkim.	<input type="radio"/>
3	UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.	<input type="radio"/>
4	SIP of Mutual Funds upto Rs. 50,000/- p.a.	<input type="radio"/>
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.	<input type="radio"/>

**E. LIST OF PEOPLE AUTHORIZED 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).	<input type="radio"/>
2	In case of NRIs, authorized 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.	<input type="radio"/>

# KNOW YOUR CLIENT (KYC) REGISTRATION FORM

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

Trading Account       Demat Account       Both

## TRADING PREFERENCES

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

Exchanges	<b>NSE, BSE</b>					<b>MCX, NCDEX, BSE &amp; NSE</b>
All Segments	Cash	F&O	Currency	SLBM	DEBT	Commodity Derivatives

If you do not wish to trade in any of segments, please mention here - NSE Cash / NSE FNO / NSE CD / NSE Commodity / NSE SLBM / BSE Cash / BSE FNO / BSE CD / BSE Commodity / BSE SLBM / MCX Commodity / NCDEX Commodity

I/We here accepting access of trading (except above stated segment / Exchange) to all other active stock exchanges for the segment already opted by me/us

**ACCOUNT TYPE**

**NATIONALITY**  Indian  Others

**STATUS**  Resident Individual  Non-Resident

**Type of Account (Please tick whichever is applicable)**

Status	Sub Status
<input type="radio"/> Individual	<input type="radio"/> Individual Resident <input type="radio"/> Individual Director <input type="radio"/> Individual Director's Relative <input type="radio"/> Individual HUF / AOP <input type="radio"/> Individual Promoter <input type="radio"/> Others (Specify) <input type="radio"/> Individual Margin Trading A/c (MANTRA)
<input type="radio"/> NRI	<input type="radio"/> NRI Repatriable <input type="radio"/> NRI Non-Repatriable <input type="radio"/> NRI Repatriable Promoter <input type="radio"/> NRI Non-Repatriable Promoter <input type="radio"/> NRI - Depository Receipts <input type="radio"/> Others (Specify)
<input type="radio"/> Foreign National	<input type="radio"/> Foreign National <input type="radio"/> Foreign National-Depository Receipts <input type="radio"/> Others (specify)

## **MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**

Jointly       Anyone of the Holder

**Consent for Communication to be received by first account holder / all Account holder :**

(Tick the applicable box. If not marked the default option would be first holder)

<input type="radio"/> First Holder	<input type="radio"/> All Holder	Email Id
<input type="radio"/> Second Holder		
<input type="radio"/> Third Holder		

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals only)

KYC Type :  New KYC  KYC Modification

KYC Mode :  Normal  Offline KYC  EKYC Biometric



Arham Wealth  
wealth • security • success

### A. IDENTITY DETAILS

Please fill the form in ENGLISH & BLACK letters

Name of the Applicant (As per PAN Card)														
Father's/Spouse Name														
Mother's Name														
Gender	<input type="radio"/> Male	<input type="radio"/> Female	<input type="radio"/> Transgender											
Marital Status	<input type="radio"/> Single	<input type="radio"/> Married	<input type="radio"/> Others											
Date of Birth			-			-								
Nationality	<input type="radio"/> Indian	<input type="radio"/> Others												
Residential Status	<input type="radio"/> Resident Individual	<input type="radio"/> Non Resident (NRI)	<input type="radio"/> Foreign National	<input type="radio"/> Person of Indian Origin (Passport Mandatory for NRIs, PIOs and Foreign Nationals)										
PAN No.				Aadhar No.										
Proof of Identity Submitted for PAN exempt Cases : <input type="radio"/> UID (Aadhaar) <input type="radio"/> Passport <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Others														

Affix  
Passport Size  
Photograph  
Only  
Please Sign  
Across the  
Photograph  
●

### B. ADDRESS DETAILS

Address for Correspondence (Residence) :						
Landmark :	City :	District :				
Pin Code :	State :	Country :				
Contact Details :						
Tel. (Office) :		Tel. (Residence)				
Mobile :	E-mail :					
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified	
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONDENCE ADDRESS :						
<input type="radio"/> UID (Aadhar)	<input type="radio"/> Voter ID	<input type="radio"/> Driving Licence	<input type="radio"/> Passport	<input type="radio"/> Others		
Permanent address of Resident Applicant if different from above B1 or overseas Address (Mandatory) for Non Resident Applicant.						
Landmark :	City :	District :				
Pin Code :	State :	Country :				
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified	
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONDENCE ADDRESS :						
<input type="radio"/> UID (Aadhar)	<input type="radio"/> Voter ID	<input type="radio"/> Driving Licence	<input type="radio"/> Passport	<input type="radio"/> Others		
FATCA & CRS : Tax Residency outside India			<input type="radio"/> Yes	<input type="radio"/> No	(Name of Country) _____	
If Yes, please follow the Annexure 1 Page No.						
Details of Related Person :	<input type="radio"/> Guardian of Minor	<input type="radio"/> Related Person PAN	Name _____			

### DECLARATION

### SIGNATURE OF APPLICANT

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/We am/are aware that I/we may be held liable for it.

I/We hereby consent to receiving information from 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/Digi locker XML file, along with passcode and as applicable, with KRA and other intermediaries with whom I have a business relationship for KYC purposes only.

Place : Date : / /

### FOR OFFICE USE ONLY

IPV Done on \_\_\_\_\_

Arham Wealth Management Pvt. Ltd. <input type="radio"/> (Original Verified) & Self-Certified, document Copies Received	STAFF NAME	
	EMPLOYEE CODE	
	DESIGNATION	
	SIGNATURE	
		Seal/Stamp Intermediary

## ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.		Date		DP Internal Reference No.		
DP ID	12080200	Exchange	NSE/BSE/MCX/NCDEX	UCC		Client ID

### A. DETAILS OF ACCOUNT HOLDERS

#### SOLE / FIRST HOLDER DETAIL :

NAME						
UID				PAN		
Occupation	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	
	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Student	<input type="checkbox"/> Others (Pl. specify) :	
Education	<input type="checkbox"/> Graduate	<input type="checkbox"/> Under Graduate	<input type="checkbox"/> Post Graduate	Others _____		
PEP / RPEP	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Not Applicable			

#### SECOND HOLDER DETAIL :

NAME						
UID				PAN		
Occupation	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	
	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Student	<input type="checkbox"/> Others (Pl. specify) :	
Education	<input type="checkbox"/> Graduate	<input type="checkbox"/> Under Graduate	<input type="checkbox"/> Post Graduate	Others _____		
PEP / RPEP	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Not Applicable			

#### THIRD HOLDER DETAIL :

NAME						
UID				PAN		
Occupation	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	
	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Student	<input type="checkbox"/> Others (Pl. specify) :	
Education	<input type="checkbox"/> Graduate	<input type="checkbox"/> Under Graduate	<input type="checkbox"/> Post Graduate	Others _____		
PEP / RPEP	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Not Applicable			

Details of Guardian (in case of the Account Holder is Minor)

Guardian Name		PAN	
Relation with the Applicant			

## BANK DETAILS (MANDATE FOR ELECTRONIC CREDIT)

1 Bank Name											Branch							
Address																		
A/c. No.																		
A/c Type	<input type="radio"/> Savings		<input type="radio"/> Current		<input type="radio"/> Others (Specify) _____													
MICR Number								IFSC Code										

The above bank account will be captured in CDSL system • Default for dividend receipts and trading payouts

2 Bank Name											Branch							
Address																		
A/c. No.																		
A/c Type	<input type="radio"/> Savings		<input type="radio"/> Current		<input type="radio"/> Others (Specify) _____													
MICR Number								IFSC Code										

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque 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.

(v) Documents should be not more than 2 month old.

In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

## DEMAT DETAILS

1 - DEMAT DETAILS		<input type="radio"/> CDSL	<input type="radio"/> NSDL													
Beneficiary Name																
Depository Participant Name																
(Through which transactions will generally be routed)										(Default for Payout)						
DP ID No.								Beneficiary ID (BO ID)								

2 - DEMAT DETAILS		<input type="radio"/> CDSL	<input type="radio"/> NSDL													
Beneficiary Name																
Depository Participant Name																
(Through which transactions will generally be routed)										(Default for Payout)						
DP ID No.								Beneficiary ID (BO ID)								

## PAST ACTIONS TAKEN

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

### VAT DETAILS

Local VAT Regn. No.		Sales		Validity Date	-	-		
Other VAT Regn. No.		Sales		Validity Date	-	-		

### GST REGISTRATION DETAILS

SGST No.	
CGST No.	
IGST No.	

### OTHER DETAILS

Income Range (Per Annum in Rs.)	<input type="radio"/> Below 1 Lac.	<input type="radio"/> 1 - 5 Lacs.	<input type="radio"/> 5 - 10 Lacs.
	<input type="radio"/> 10 - 25 Lacs.	<input type="radio"/> 25 Lacs. - 1 Crore	<input type="radio"/> Above 1 Crore
Networth		As on	-

(Networth should not be older than 1 year)

INVESTMENT EXPERIENCE	<input type="radio"/> No Prior Experience	<input type="radio"/> Capital Market _____ yrs.
	<input type="radio"/> Derivatives Market _____ yrs.	<input type="radio"/> Commodity Market _____ yrs.
		<input type="radio"/> Other Investment Field _____ yrs.

Please tick, if applicable

Whether you wish to receive. (please specify)  Physical Contract Note  Electronic Contract Note (ECN)

Specify your Email ID, if applicable :

Whether you wish to avail of the facility of internet trading / wireless technology (please specify)  Yes  No

Any other information

### DEALINGS THROUGH SUB-BROKERS, AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details

Sub-broker's Name												
SEBI Registration number												
Registered office address												
Phone No.												
Website												

Whether dealing with any other stock broker/sub- broker (If case dealing with multiple stock brokers/sub-brokers provided details of all)

Name of Stock Broker												
Name of Sub Broker												
Client Code												
Details of disputes / dues pending from / to such stock broker / sub-broker												

## INTRODUCTION DETAILS

Introducer's Name																			
Address																			
<input type="radio"/> Authorized Person <input type="radio"/> Existing Client <input type="radio"/> Other _____																			
PAN No.														Tel. No.					

Introducer's Signature



## DECLARATION

- 1.I/We hereby declare that the details furnished above are true and correct to the best of my / our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- 2.I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- 3.I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document.' I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock broker's designated website, if any.

Date			-			-						
Place												



(Client's Signature)

## FOR OFFICE USE ONLY

UCC Code allotted to the Client :			
Documents verified with Originals / In person Verification done by			Client Interviewed / Approved by
Name			
Signature			
Designation			
Employee Code			
Date			

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

Seal/Stamp of the stock broker

Date			-			-					
------	--	--	---	--	--	---	--	--	--	--	--

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals only)



**KYC Type :**  New KYC  KYC Modification

**KYC Mode :**  Normal  Offline KYC  EKYC Biometric

Please fill the form in ENGLISH & BLCK letters

### A. IDENTITY DETAILS

Name of the Applicant (As per PAN Card)										
Father's/Spouse Name										
Mother's Name										
Gender	<input type="radio"/> Male	<input type="radio"/> Female	<input type="radio"/> Transgender							
Marital Status	<input type="radio"/> Single	<input type="radio"/> Married	<input type="radio"/> Others							
Date of Birth		-		-						
Nationality	<input type="radio"/> Indian	<input type="radio"/> Others								
Residential Status	<input type="radio"/> Resident Individual		<input type="radio"/> Non Resident (NRI)	<input type="radio"/> Foreign National	<input type="radio"/> Person of Indian Origin (Passport Mandatory for NRIs, PIOs and Foreign Nationals)					
PAN No.				Aadhar No.						
Proof of Identity Submitted for PAN exempt Cases : <input type="radio"/> UID (Aadhaar) <input type="radio"/> Passport <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Others										

Affix  
Passport Size  
Photograph  
Only  
Please Sign  
Across the  
Photograph  
→

### B. ADDRESS DETAILS

Address for Correspondence (Residence) :					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Contact Details :					
Tel. (Office) :		Tel. (Residence) :			
Mobile :		E-mail :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
Permanent address of Resident Applicant if different from above B1 or oversease Address (Mandatory) for Non Resident Applicant.					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
FATCA & CRS :		Tax Residency out side India	<input type="radio"/> Yes	<input type="radio"/> No	(Name of Country) _____
If Yes, please follow the Annexure 1 Page No.					
Details of Related Person : <input type="radio"/> Guardian of Minor <input type="radio"/> Related Person PAN _____ Name _____					

### DECLARATION

### SIGNATURE OF APPLICANT

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/We am/are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address. I/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/Digi locker XML file, along with passcode and as applicable, with KRA and

Place : Date : / /

### FOR OFFICE USE ONLY

IPV Done on \_\_\_\_\_

Arham Weath Management Pvt. Ltd. <input type="radio"/> (Original Verified) & Self-Certified, document Copies Received	STAFF NAME		Seal/Stamp Intermediary
	EMPLOYEE CODE		
	DESIGNATION		
	SIGNATURE		

JOINT HOLDER DETAILS FOR DEMAT ACCOUNT OPERATION

SECOND HOLDER DETAILS

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals only)



**KYC Type :**  New KYC  KYC Modification

**KYC Mode :**  Normal  Offline KYC  EKYC Biometric

Please fill the form in ENGLISH & BLCK letters

### A. IDENTITY DETAILS

Name of the Applicant (As per PAN Card)										
Father's/Spouse Name										
Mother's Name										
Gender	<input type="radio"/> Male	<input type="radio"/> Female	<input type="radio"/> Transgender							
Marital Status	<input type="radio"/> Single	<input type="radio"/> Married	<input type="radio"/> Others							
Date of Birth		-		-						
Nationality	<input type="radio"/> Indian	<input type="radio"/> Others								
Residential Status	<input type="radio"/> Resident Individual		<input type="radio"/> Non Resident (NRI)	<input type="radio"/> Foreign National	<input type="radio"/> Person of Indian Origin (Passport Mandatory for NRIs, PIOs and Foreign Nationals)					
PAN No.				Aadhar No.						
Proof of Identity Submitted for PAN exempt Cases : <input type="radio"/> UID (Aadhaar) <input type="radio"/> Passport <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Others										

Affix  
Passport Size  
Photograph  
Only  
Please Sign  
Across the  
Photograph  
→

### B. ADDRESS DETAILS

Address for Correspondence (Residence) :					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Contact Details :					
Tel. (Office) :		Tel. (Residence)			
Mobile :		E-mail :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
Permanent address of Resident Applicant if different from above B1 or oversease Address (Mandatory) for Non Resident Applicant.					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
FATCA & CRS : Tax Residency out side India			<input type="radio"/> Yes	<input type="radio"/> No	(Name of Country) _____
If Yes, please follow the Annexure No. 1 Page No.					
Details of Related Person : <input type="radio"/> Guardian of Minor <input type="radio"/> Related Person PAN _____ Name _____					

### DECLARATION

### SIGNATURE OF APPLICANT

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I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address. I/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/Digi locker XML file, along with passcode and as applicable, with KRA and

Place : Date : / /

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IPV Done on \_\_\_\_\_

Arham Weath Management Pvt. Ltd.  <input type="radio"/> (Original Verified) & Self-Certified, document Copies Received	STAFF NAME		Seal/Stamp Intermediary
	EMPLOYEE CODE		
	DESIGNATION		
	SIGNATURE		

JOINT HOLDER DETAILS FOR DEMAT ACCOUNT OPERATION

THIRD HOLDER DETAILS

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals only)



**KYC Type :**  New KYC  KYC Modification

**KYC Mode :**  Normal  Offline KYC  EKYC Biometric

Please fill the form in ENGLISH & BLCK letters

### A. IDENTITY DETAILS

Name of the Applicant (As per PAN Card)										
Father's/Spouse Name										
Mother's Name										
Gender	<input type="radio"/> Male	<input type="radio"/> Female	<input type="radio"/> Transgender							
Marital Status	<input type="radio"/> Single	<input type="radio"/> Married	<input type="radio"/> Others							
Date of Birth		-		-						
Nationality	<input type="radio"/> Indian	<input type="radio"/> Others								
Residential Status	<input type="radio"/> Resident Individual		<input type="radio"/> Non Resident (NRI)	<input type="radio"/> Foreign National	<input type="radio"/> Person of Indian Origin (Passport Mandatory for NRIs, PIOs and Foreign Nationals)					
PAN No.				Aadhar No.						
Proof of Identity Submitted for PAN exempt Cases : <input type="radio"/> UID (Aadhaar) <input type="radio"/> Passport <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Others										

Affix  
Passport Size  
Photograph  
Only  
Please Sign  
Across the  
Photograph  
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### B. ADDRESS DETAILS

Address for Correspondence (Residence) :					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Contact Details :					
Tel. (Office) :		Tel. (Residence) :			
Mobile :		E-mail :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
Permanent address of Resident Applicant if different from above B1 or oversease Address (Mandatory) for Non Resident Applicant.					
Landmark :	City :	District :			
Pin Code :	State :	Country :			
Address Type*	<input type="radio"/> Residential/Business	<input type="radio"/> Residential	<input type="radio"/> Business	<input type="radio"/> Registered Office	<input type="radio"/> Unspecified
SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONCE ADDRESS :					
<input type="radio"/> UID (Aadhar) <input type="radio"/> Voter ID <input type="radio"/> Driving Licence <input type="radio"/> Passport <input type="radio"/> Others					
FATCA & CRS : Tax Residency out side India			<input type="radio"/> Yes	<input type="radio"/> No	(Name of Country) _____
If Yes, please follow the Annexure No. 1 Page No.					
Details of Related Person : <input type="radio"/> Guardian of Minor <input type="radio"/> Related Person PAN _____ Name _____					

### DECLARATION

### SIGNATURE OF APPLICANT

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Place : Date : / /

### FOR OFFICE USE ONLY

IPV Done on \_\_\_\_\_

Arham Weath Management Pvt. Ltd. <input type="radio"/> (Original Verified) & Self-Certified, document Copies Received	STAFF NAME		Seal/Stamp Intermediary
	EMPLOYEE CODE		
	DESIGNATION		
	SIGNATURE		

GUARDIAN DETAILS (IN CASE THE ACCOUNT HOLDER IS MINOR)

## STANDING INSTRUCTIONS

<b>Smart Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure-2.4</b>	<input type="radio"/> Yes <input type="radio"/> No    Mobile. No. + 9 1												
	[(Mandatory, if you are giving Power of Attorney (POA) ] {if POA is not granted & you do not wish to avail of this facility, cancel this option).												
Transactions Using Secured Texting Facility (Trust) Refer to Terms and Conditions Annexure-2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Term and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.												
	<input type="radio"/> Yes <input type="radio"/> No		Stock Exchange Name/ID		Clearing Member Name		Clearing Member ID (Optional)						
Easi	<input type="radio"/> Yes <input type="radio"/> No		To register for easi, please visit our website : <a href="http://www.cdsindia.com">www.cdsindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the protfolio online										
<b>Account Statement Requirement</b>		<input type="radio"/> As per SEBI Regulation <input type="radio"/> Daily <input type="radio"/> Weekly <input type="radio"/> Forthnightly <input type="radio"/> Monthly											
I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')												[Automatic Credit] <input type="radio"/> Yes <input type="radio"/> No	
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')												<input type="radio"/> Yes <input type="radio"/> No	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID												<input type="radio"/> Yes <input type="radio"/> No	
I/We would like to share the email ID with the RTA												<input type="radio"/> Yes <input type="radio"/> No	
I/We would like to receive the Annual Report <input type="radio"/> Physical / <input type="radio"/> Electronic / <input type="radio"/> Both Physical and Electronic (Ticke the applicable box. If not marked the default option would be in Physical)												<input type="radio"/> Yes <input type="radio"/> No	
Do you with to receive dividend / interest directly in to your bank account given below through ECS? (If not marked, the default option would be Yes') (ECS is mandatory for locations notified by SEBI from time tot time)												<input type="radio"/> Yes <input type="radio"/> No	

## BENEFICIAL OWNER (S)

	Name of Holders										Signature(s)	
First / Sole Holder												
Second Holder												
Third Holder												
Date			-			-					Place	

## IN PERSON VERIFICATION

<input type="radio"/> IPV Through WEBCAM												
Verifier's Name												
Employee Code								Designation				
Date of Verification				-			-				Signature	

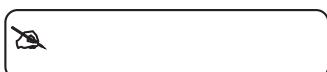
## **BROKERAGE STRUCTURE**

**Note :** Courier charges shall be levied to the client for the dispatch of physical document, including but not limited to contract notes, account statements, transaction reports, and any other relevant communication or documentation. These charges will be applicable in cases where the client has opted for or requires physical delivery of such document or email get bounced. you will be charged Rs. 100/- as a Courier Charges.

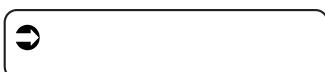
(Client's Signature)

# DECLARATION / RIGHTS AND OBLIGATIONS

I/We have received & read the rights & obligations, including the schedules thereto and terms & conditions and agree to abide by and bound by the same and by the Bye-Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application. I/We agree that any false / misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.



First Holder Signature



Second Holder Signature



Third Holder Signature

### Client Code :

## Declaration

Date :            /            /

Dear Sir.

If any employee of Arham wealth Management Private Limited offer any Guaranteed return / fixed return-income / Assured return, please contact Mr Kalpesh Parekh on 9925004874 or +91 261 6941042. As Arham Wealth Management is not offer any such fixed or assured return to client. Since, Arham Wealth Management does not offer any Guaranteed return/fixed return / Assured return scheme/s, capital protection scheme.

Please contact Mr Kalpesh Parekh on 9925004874 or +91 261 6941042., if any employee of Aarham Wealth Management Pvt. Limited offer any such fixed or assured return to you.

Regards,

(Client sign)

## Demat Account Tariff Sheet

### Tariff applicable to Beneficiary Accounts for DP Services (CDSL)

Sr. No.	Services	SCHEME	SCHEME 1	SCHEME 2
		<input type="radio"/> BASIC	<input type="radio"/> Investor / Traders	<input type="radio"/> Life Time
1	Annual Maintenance Charges	100/-	300/-	
2	One Time Maintenance Charges	Nil	Nil	₹ 999
3	Deliveries / Debit transaction a) Within AWMPL	₹ 11 / ISIN	₹ 11 / ISIN	₹ 20 / ISIN
	b) Outside AWMPL	Whichever is high 0.02% Min ₹ 15 / ISIN	Whichever is high 0.02% Min ₹ 15 / ISIN	Whichever is high 0.02% Min ₹ 25 / ISIN
4	Charges for Pledge creation/ Pledge closure	0.02% Min 25 / ISIN	0.02% Min ₹ 25 / ISIN	0.02% Min ₹ 50 / ISIN
5	Dematerialization	₹ 5 per certificate and ₹ 50 per DRF request and ₹ 50 per rejection	₹ 5 per certificate and ₹ 50 per DRF request and ₹ 50 per rejection	₹ 5 per certificate and ₹ 50 per DRF request and ₹ 50 per rejection
6	Rematerialization	Actual CDSL charges plus ₹ 50 per request	Actual CDSL charges plus ₹ 50 per request	Actual CDSL charges plus ₹ 50 per request
7	Additional DIS requisition	₹ 10/ booklet	₹ 10/ booklet	₹ 10/ booklet
8	Additional Request for account statement or holding with valuation, account modification,freeze & unfreeze etc.	₹ 25/ Request	₹ 25/ Request	₹ 25/ Request
9	Margin Pledge	10/- per ISIN	10/- per ISIN	10/- per ISIN

#### Notes :

1. GST and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
2. Charges are payable monthly.
3. The rate will depend on existing CDSL charges and will be revised on revision by CDSL. All the charges are subject to revision at the sole & discretion of AWMPL. Charges will be revised by giving minimum 30 days notice in writing.
4. Value of the transaction will be in accordance with the rates provided by CDSL.
5. For availing 'Easiest' facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.
6. In case of every Corporate Accounts, CDSL AMC of 500/- shall be charged extra.
7. 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 IT 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.
8. Courier Charges for Demat/Remat/Demat Rejection/CMR/additional DIS / Any Periodic/Adhoc Statement your will be charged Rs. 100/-

### AUTHORISATION TO DEBIT TRADING ACCOUNT FOR THE DEM AT ACCOUNT CHARGES

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 or 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.

Client Code \_\_\_\_\_ BO ID : 12080200

	Name of Holders	Signature(s)
First / Sole Holder		
Second Holder		
Third Holder		



ARHAM WEALTH MANAGEMENT PVT. LTD.

Reg. Office : Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5C,

Gift City, Gandhinagar Gujarat-382355

**Correspondence Office : B2, Ground Floor, International Trade Center, Majuragate, Ring Road, Surat-395 002.**

## FORM FOR NOMINATION

*(To be filled in by individual applying singly or jointly)*

**Nomination Facility Availed By Client :**  Yes  No

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

## Nomination Details

I / We wish to make a nomination and do here by nominate the following person(s) who shall receive all the Assets held in my/our account , in the event of the death of my death / our death

## Mandatory Holders Details

Nomination can be made upto three nominees in the account.		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee	<b>Equally</b> <small>[If not equally, please specify percentage]</small>	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.	%
3	Relationship With the Applicant			

**Date of Birth and name of Guardian to be provided in case of minor nominee(s)**

4	Date of Birth {in case of minor nominee(s)}			
5	Name of Guardian {in case of minor nominee(s) }			

## Non-mandatory Holders Details

6	Address of Nominee(s) / Guardian in case of Minor City /Place State & Country			
	PIN Code			
7	Mobile / Telephone No. of nominee(s)/Guardian in case of Minor			
8	Email ID of nominee(s) Guardian in case of Minor			
9	Nominee / Guardian (in case of Minor) Identification details - [Please tick any one of following and provide details of same]  <input type="radio"/> Photograph & Signature <input type="radio"/> PAN <input type="radio"/> Aadhaar <input type="radio"/> Saving Bank Account No. <input type="radio"/> Proof of Identity <input type="radio"/> Demat Account			



**ARHAM WEALTH  
MANAGEMENT PVT. LTD.**

	Name(s) of Holder(s)	Signature(s) of holder*
First / Sole Holder or Guardian (in case of Minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

\*Signature of witness, along with name and address are required, if the account holder affixes thumb impressing, instead of Signature

Note :

This nomination shall supersede any prior nomination made by account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

Details of the Witness	
	First / Witness
Names of Witness	
Address of Witness	
Signature of Witness	

# DECLARATION FORM FOR OPTING OUT OF NOMINATION

To	Date	D	D	M	M	Y	Y	Y	Y
----	------	---	---	---	---	---	---	---	---

## ARHAM WEALTH MANAGEMENT PVT. LTD.

Reg. Office : Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5C,  
Gift City, Gandhinagar Gujarat-382355

Correspondence Office : B2, Ground Floor, International Trade Center, Majuragate, Ring Road, Surat-395 002.

UCC/DP ID													
Client ID (only for Demat account)													
Sole/First Holder Name													
Second Holder Name													
Third Holder Name													

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat 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 / demat 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.

### Name and Signature of Holder(s)\*

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_

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

## Annexure - A

To,

**Arham Wealth Management Pvt Ltd**  
Unit No. 418, 419, 419A, 4th Floor, Dsccsl Tower,  
Block-53, Road 5c Gift City,  
Gandhinagar Gujarat-382355

Beneficiary Account - 12080200\_\_\_\_\_

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

UCC Code: \_\_\_\_\_ Client Name: \_\_\_\_\_

### **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 stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’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 stock broker 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 case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker 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 stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes

Client Signature\_\_\_\_\_

## INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO 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.

**DECLARATION FOR AVALING OF BASIC SERVICES DEMAT ACCOUNT (BSDA) FACILITY**

To,

**Arham Wealth Management Pvt. Ltd.****Reg. Office Add.:** Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5c Gift City, Gandhinagar Gujarat-382355**Correspondence Add. :** B-2, Ground Floor, International Trade Centre, Majuragate, Ring Road, Surat-395002.

Dear Sir / Madam,

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

- I / We wish to avail the BSDA facility
- I / We do not wish to avail the BSDA facility
- I / We Opting out my BSDA facility

**Scheme of BSDA account's tariff structure  
Annual Maintenance Charges**

<b>Value of Holdings in the Demat Account (Debt as well as other than debt securities combined.)</b>	<b>Maximum Annual Maintenance Charges (AMC)</b>
<b>Up to Rs. 4 lakhs</b>	<b>NIL</b>
<b>More than Rs. 4 lakhs but up to Rs. 10 lakhs</b>	<b>Rs. 100 + (GST)</b>
<b>More than Rs. 10 lakhs</b>	<b>Not a BSDA. Regular AMC may be levied.</b>

UCC Code \_\_\_\_\_ BO ID : 12080200

	Signature
Sole / First Holder	
Second Holder	
Third Holder	



# ARHAM WEALTH MANAGEMENT PVT. LTD.

## CLIENT COMMODITY WISE CATEGORISATION (MANDATORY - ONLY FOR COMMODITY CLIENTS)

**Arham Wealth Management Private Limited.**

B/2, Ground Floor, ITC Building,  
Majura gate, Ring Road, Surat - 395002

I do hereby declare that my Commodity wise categorisation as a participant is as follows:[] tick mark.

Sr. No. Commodity	FARMER/FPOS	VALUE CHAIN PARTICIPANTS(VCPs)	PROPRIETARY TRADES	DOMESTIC FINANCIAL INSTITUTIONAL INVESTOR	FOREIGN PARTICIPANTS	OTHERS
1 ALUMINIUM						
2 BRASS						
3 CARDAMOM						
4 CASTORSEED						
5 COPPER						
6 COTTON						
7 CRUPALMOIL						
8 CRUDE OIL						
9 GOLD						
10 LEAD						
11 MENTHAOIL						
12 NATURALGAS						
13 NICKEL						
14 PEPPER						
15 RBDPALMOIL						
16 SILVER						
17 ZINC						
18 KAPAS						
19 MCXBULLDEX						
20 MCXMETLDEX						
21 RUBBER						
22 OTHERS						

I also give my consent to upload the information to the respective commodity exchanges.

- 1) **Farmers/FPOs:** It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs)
- 2) **Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- 3) **Proprietary traders:** It includes the members of stock exchanges trading in their proprietary account.
- 4) **Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- 5) **Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- 6) **Others:** All other participants which cannot be classified in the above categories

**Client Signature** \_\_\_\_\_

**Client Name:** \_\_\_\_\_ **UCC Code:** \_\_\_\_\_

## ANNEXURE-1



Arham Wealth  
management pvt. Ltd.

### FATCA & CRS Declaration - Individual

PAN  Trading  DP Code

Name

Date of Birth  Country of Birth

Nationality

Annual Income  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  Rs. 5 Lac to 10 Lac  
 Rs. 10 Lac to 25 Lac  Rs. 25 Lac to 1 Crore  > 1 Crore

Net Worth Amount Rs..... Net Worth as on

(Net worth should not be older than 1 year)

Occupational Detail  Business  Private Sector  Professional  Government Service  Public Sector  
 Agriculturist  Housewife  Student  Retired  Forex Dealer  Others Pl. Specify

Politically Exposed Person (PEP)  Related to Politically Exposed Person (RPEP)

Are you a tax resident of any country other than India  Yes  No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, Please Specify)
1.			
2.			
3.			

#### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct the complete. I hereby agree and confirm to inform \_\_\_\_\_ Arham Weath Management Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Sign here :



Date :

Place :

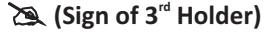
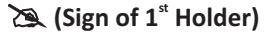
To all to whom these presents shall come, I/we,

1. Mr./Mrs./Ms. \_\_\_\_\_ an individual having his/her residence address at \_\_\_\_\_ (hereinafter called 'the First / Sole Holder')
2. Mr./Mrs./Ms. \_\_\_\_\_ an individual having his/her residence address at \_\_\_\_\_ (hereinafter called 'the second holder')
3. Mr./Mrs./Ms. \_\_\_\_\_ an individual having his/her residence address at \_\_\_\_\_ (hereinafter called 'the third holder')

An Individual/ a sole proprietary concern/ a partnership firm /a body Corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the companies Act 1956 or any relevant Act, having his/her/its residence/ registered office/place of business at

All Indian inhabitant(s) send greetings on this      day      of ,202 , Whereas

1. I/we hold a beneficiary account # 12080200 \_\_\_\_\_ with Central Depository Services (India) Ltd., though its Depository Participant, Arham Wealth Management Private Limited, a corporate body incorporated under The companies Act, 1956 having its Corporate Address B-2, ITC Building, Ground Floor, Majura Gate, Surat 395002 and having DP ID 80200 (hereinafter referred to as 'the Depository Participant').
2. I/we am/are an investor engaged in buying and selling of securities through Arham Wealth Management Private Limited, a corporate body incorporated under The companies Act, 1956 and having its Corporate Address B-2, ITC Building, Ground Floor, Majura Gate, Surat 395002 (Hereinafter referred to as 'the stock broker').
3. The said Stock Broker is presently a Member of BSE Ltd. & National Stock Exchange of India Ltd. in Capital Market Segment, Equity Derivative Segment, Currency Derivative Segment & Commodity Derivative providing MTF & Mutual Fund Distributor bearing SEBI Registration No. INZ000189034. (hereinafter referred to as "the Stock Exchange/Exchanges").
4. Due to exigency and paucity of time, I/we am/are desirous of executing DDPI i.e. Demat Debit and Pledge Instruction with Arham allowing Arham Wealth Management Private Limited.

Sr. No.	Purpose	Signature of Client
1.	To Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations (via demat accounts as mentioned in Schedule 'A' attached herewith) arising out of trades executed by clients on the Stock Exchange through the same stock broker.	  
2.	For Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. To return any securities that may have been received by me erroneously or those securities that I was not entitled to receive.	  

## Demat Debit and Pledge Instruction

Sr. No.	Purpose	Signature of Client
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	 (Sign of 1 <sup>st</sup> Holder)   (Sign of 2 <sup>nd</sup> Holder)   (Sign of 3 <sup>rd</sup> Holder)
4.	Tendering shares in open offers through Stock Exchange platforms.	 (Sign of 1 <sup>st</sup> Holder)   (Sign of 2 <sup>nd</sup> Holder)   (Sign of 3 <sup>rd</sup> Holder)

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named herein above in the manner specified herein.

I/We hereby agree and declare that all acts and deeds done by the aforesaid stock broker under this authorization shall be construed as acts and deeds done by me/us jointly as well as severally and I/we further confirm and ratify all acts and deeds that the aforesaid stock broker shall lawfully do or cause to be done by virtue of this authorization.

I/We further agree and confirm that the powers and authorities conferred by this instruction shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker.

## SCHEDULE 'A'

Particulars	Demat Account No.	Particulars	Demat Account No.
NSE CDSL POOL A/C	120802000000035	BSE CDSL POOL A/C	120802000000016
NSE Early Pay-in Account	1100001100019454	Client Securities Margin Pledge Account	1208020000044630
NSE CDSL SLBM POOL A/C	1208020000030459	BSE Early Pay-in Account	1100001000023458
Client Unpaid Securities pledge AC	1208020000074524	Client Securities Margin Funding Account	1208020000134513
NSE/BSE Derivative TM POOL A/C	IN300966-11369131	—	—

Sr. No.	ACCOUNT TYPE	CM-BP ID
1	BSE NSDL POOL ACCOUNT	IN665658
2	NSE NSDL POOL ACCOUNT	IN590954

We hereby confirm having accepted the aforesaid Instructions

For, Arham Wealth Management Private Limited



 Authorised Signatory

**RUNNING ACCOUNT AUTHORISATION****VOLUNTARY**

**(THE CLIENT MAY, IF HE DEEMS FIT, EXECUTE THIS AUTHORIZATION)**  
**(REFERENCE PARA, 12 OF SEBI CIRCULAR NO. MIRSD/SE/CIR-19/2009 DATED DECEMBER 03, 2009)**

To,  Date  -  -  -  -  -

**Arham Wealth Management Pvt. Ltd.**

**Reg. Office Add.:** Unit No. 418, 419, 419A, 4th Floor, Dsccsl Tower, Block-53, Road 5c Gift City, Gandhinagar Gujarat-382355

**Correspondence Add. :** B-2, Ground Floor, International Trade Centre, Majuragate, Ring Road, Surat-395002.

Dear Sir,

**SUBJECT: AUTHORITY TO MAINTAINING RUNNING ACCOUNT**

in respect of my/our Trading Account held with you on Capital Market and/or Future & Options segment and/or currency derivative segment and/or Commodity Segment of the Bombay Stock Exchange, & National Stock Exchange of India Limited. Commodity Segment of Multi Commodity Exchange of India Limited & National Commodity Derivative Exchange Limited. As my/our broker I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instruction given below:

- 1) I/We request you to do the settlement of running account of funds after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges in

Once in 30 days  Once in 90 days

running account as per the selection made above.

- 2) I understand that as suggested by SEBI via circular SEBI/HO/MIRSD/PoD1/P/CIR/2023/197, the settlement of running account of funds of my trading account shall be done by you after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchanges on first Friday of the settlement cycle selected by us.
- 3) If my account has credit balance and I/We have not done any transaction in the 30 calendar days since the last transaction, I/We authorize and request you to return the credit balance within next three working days without any intimation irrespective of the date when the running account was previously settled.
- 4) I understand and accept that as per above referenced SEBI circular, security settlement won't be carried out in the account held by me/us.
- 5) I understand that
  - a) if i select quarterly (i.e., Apr-Jun, Jul-Sep, Oct-Dec, Jan-Mar) for all the clients i.e., the running account of funds shall be settled on first Friday of April-\_\_\_\_\_, July-\_\_\_\_\_, Oct-\_\_\_\_\_, Jan-\_\_\_\_\_, and so on for all the clients registered with you. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day;
  - b) And if i have opted for Monthly settlement, running account shall be settled on first Friday of every month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
- 6) I agree that if I/We fail to bring any disputes arising from the statement of running account to your notice within 30 working days from the date of receipt of statement of running account, The statement of running account shall be final and binding to me/us and I/We shall have no right to dispute on the same.
- 7) I/We agree that we reserve right to revoke this authorization upon giving the instructions in writing to you

Thanking You,  
Yours faithfully,

Client Name



Client Signature

UCC Code :

**PROPRIETARY DECLARATION**

From,

**ARHAM WEALTH MANAGEMENT PVT. LTD.**

**"PROPRIETARY TRADING DISCLOSURE NOTED"**

This has reference to circular no. SEBI / MRD / SE / CIR. -42 / 2003 dated November 19, 2003, on the subject matter. As directed by SEBI Vide above mentioned circular I hereby disclose that **Member** does client based business as well as undertakes proprietary trading in NSE, BSE, MCX & NCDEX.

Client Name



Client Signature

## **OPTION FORM FOR ISSUE OF DIS BOOKLET**

Date      -      -      -

DP ID									Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,

Arham Wealth Management Pvt. Ltd.

**Reg. Office Add.:** Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5c Gift City, Gandhinagar Gujarat-382355

**Correspondence Add. : B-2, Ground Floor, International Trade Centre, Maiuragate, Ring Road, Surat-395002.**

Dear Sir / Madam

I / We hereby state that : [Select one of the options given below]

### OPTION 1 :

I/We require you to issue Delivery Instruction slip (DIS) booklet to me /us immediately on opening my/our CDSL account through I/We have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with \_\_\_\_\_(name of the attorney / Clearing / PMS manager) for executing delivery instruction for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS manager.

Yours Faithfully

Name of Holders	Signature(s)
First / Sole Holder	
Second Holder	
Third Holder	

## OPTION 2 ·

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a POA / executed PMS agreement in favour of / with \_\_\_\_\_ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades (settlement related transactions) effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Name of Holders		Signature(s)
First / Sole Holder		
Second Holder		
Third Holder		

**VOLUNTARY UNDERTAKING/AUTHORISATION**

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize AWMPL to do the following:

**1. ORDER PLACEMENT INSTRUCTIONS**

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call center/branch specified for the said purpose by AWMPL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify AWMPL and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally

**2. ERRORS AND OMISSIONS**

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances AWMPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold AWMPL responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by AWMPL.

**3. NO MARKET MANIPULATION**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, AWMPL has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**4. NOT TO ACT AS UNREGISTERED SUB BROKER**

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through AWMPL to obtain a sub broker registration. In case AWMPL perceives that I am acting as an unregistered sub broker, AWMPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to AWMPL without the requirement of any notice from AWMPL. Further, AWMPL has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify AWMPL from any loss/damage/claim arising out of such activity.

**5. NOT DEBARRED BY ANY REGULATOR**

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform AWMPL, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and AWMPL on its own comes to know of such action, AWMPL has the right to suspend/close my trading account and refuse to deal with me. Also, AWMPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

**6. PMLA DECLARATION**

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by AWMPL officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known unlawful persons/institutions
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

**7. INDEMNIFICATION**

I hereby indemnify and hold AWMPL, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the AWMPL directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

**8. INDEMNITY OF JOINT HOLDINGS**

I hereby agree to indemnify and hold AWMPL harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

**9. BSE STAR MUTUAL FUND FACILITY**

I am interested in availing the STAR Mutual Fund facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the STAR platform of the Exchange. For the purpose of availing the STAR Mutual Fund facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of STAR and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I 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 choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

**10. DELAYED PAYMENT CHARGES**

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.05% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on AWMPL's website.

**11. NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to AWMPL every time the investment is made.

**12. THIRD-PARTY PAYMENTS**

AWMPL shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by AWMPL. AWMPL shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by AWMPL and the credit for the same has been given in the client's ledger, AWMPL shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, AWMPL reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. AWMPL, its Directors and employees shall not be responsible for any consequential damages or losses.

**13. NO DEALINGS IN CASH**

AWMPL as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/Employee/Authorized Person of AWMPL.

**14. DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated demat account of AWMPL, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/AWMPL. In case the client fails to transfer the shares on time to AWMPL, AWMPL shall not be responsible for any loss/damages arising out of such delayed transfers.

**15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)**

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then AWMPL has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. AWMPL, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of AWMPL.

After such square off of open positions by AWMPL, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, AWMPL shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. AWMPL, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

**16. INDEMNITY FOR USE OF BACKOFFICE, E-DIS & OTHER FACILITY MADE AVAILABLE UNDER THE SAME**

I/We understand that login credentials for back-office and trading platform shall be provided to us on email id provided to you on account opening form, I/we hereby agree to indemnify and hold AWMPL, its employee or directors harmless from any action taken by us from the back-office access, execution of E-dis, profile modification carried out from login access given to us in account held jointly by me with any other person or persons, if any.

The Client acknowledges that he is fully aware of and understands the risks associated with availing of access to online back-office & trading services through internet including the risk of misuse and unauthorized use of his Username and/or Password by a third party and the risk of a person hacking into the Client's account on AWMPL's back-office & Online Trading. The Client agrees that he shall be fully liable and responsible for any and all unauthorized use and misuse of his Password and/or Username and also for any and all acts done by any person through AWMPL's back-office & Online Trading System on the Client's Username in any manner whatsoever.

All the access, edis instruction executions, corporate action, profile modification or any other request or instructions given through the AWMPL's back-office system via the Client's Username, password & 2FA shall be deemed to have been done and given by the Client.

**17. INDEMNITY FOR BO HAVING JOINT BANK ACCOUNT**

In case where client's bank has joint holder, it is client's responsibility to get consent of the other holder(s) in respect of mapping & executing transaction via mapped bank in client's demat & trading account held with AWMPL.

All the transaction Carried out via such bank account which has multiple holder shall be assumed to have done through consent of all holders.

Client Sign.\_\_\_\_\_

**Consent for Bank A/c**

Bank A/c No.\_\_\_\_\_

Name of Bank\_\_\_\_\_

IFSC\_\_\_\_\_ MICR\_\_\_\_\_

Name of First Holder as per Bank A/c.\_\_\_\_\_

Name of Second Holder as per Bank A/c.\_\_\_\_\_

Consent of Bank A/c Holder Sign.\_\_\_\_\_



**CONSENT CUM DECLARATION FOR COMMON MOBILE NUMBER & EMAIL ID  
MAPPED IN FAMILY TRADING ACCOUNT & DEMAT ACCOUNT**

To,

**Arham Wealth Management Pvt Ltd**  
Unit No. 418, 419, 419A, 4th Floor, Dsccsl Tower,  
Block-53, Road 5c Gift City,  
Gandhinagar Gujarat-382355

**Subject: Mapping of common Mobile number & Email-id in family trading accounts**

**Ref: Trading Id/UCC: \_\_\_\_\_**

Dear Sir/Ma'am,

I am writing this to inform you about my trading account \_\_\_\_\_ held with Arham Wealth Management Pvt. Lt where Mobile Number \_\_\_\_\_ email-id, \_\_\_\_\_ are mapped which belongs to Client ID \_\_\_\_\_ which is my account.

I am aware that common mobile number and email id are mapped in family account having following relation: Spouse/Dependent Children/Dependent Parents.

I declare that hereby declare that the mapped mobile number and email id belongs to family member and I have given my consent to use the said Mobile Number and Email Id in family trading Accounts & Demat Account.

I am aware that the said Mobile Number Email-id is mapped in following trading accounts & Demat Account

Sr. No.	UCC	BO ID 12080200	Client Name	Relation	Signature

Further, I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief. Further I shall update you about the any changes occur in future immediately.

Yours Truthfully,

Client Signature



**LETTER OF CONSENT**

Dear Sir/Madam,

**SUB.: A) Consent for use of common E-mail id & Common Mobile Number in our trading and Demat Account;**

**B) Consent to receive digitally signed documents by E-mail (Electronic Contract Note (i.e. ECN) & other Documents) and trade confirmation etc by SMS.**

**A.** With ref. to SEBI circular CIR/MIRSD/15/2011 DATED 02/08/2011, I/we hereby authorized you to accept following common email id & common mobile number in our family member's trading & Demat account with you as per annexure 1. As per the clause (2B IV) of this SEBI circular, family member means self, spouse, dependent children and dependent parents. Following is our common E-mail id & Common Mobile number.

Sr. No.	Mobile No. / Email-Id	Owner	Relationship	Code
1				
2				

**Annexure 1 (List of family Member's Trading & Demat Account having common Email & mobile Number as mentioned above)**

Sr. No.	CODE	BO ID 12080200	NAME	RELATIONSHIP

**B.** I/we hereby consent to receive digitally signed documents like contract note (ECN), daily margin statement, statement of accounts for funds & securities of the trades executed by me/us, retain statement, trade confirmation, ledger, bills, demat holdings statements, demat transaction statements, notices, circulars, amendments and such other correspondence as per exchange & regulatory requirements in electronic form duly authenticated by means of a digital signature as specified in the Information technology Act, 2000 and the rules made there under on above our common email id & SMS if any on above common mobile number & accept and authorized the same as correct. If any error or any false information or details received in such email then I/we will agree to inform you in writing or by email immediately or within week. I/we further agree that non-receipt of bounce mail notification by the member shall amount to delivery of the electronic documents.

I/we further agree that in future if any change in my/our email id / or mobile number, I/we will inform immediately in writing to member for updation.

Thanking you.

Your's faithfully,



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

**Terms & Conditions :**

The Stock Broker or Commodity Exchange / Stock Exchanges may confirm the details by way of sending SMS or E-mail or letter directly to the client. Only upon receipt of confirmation from the Client, the Stock Broker / Stock Exchanges or Commodity Exchanges shall commence sending the transaction details directly to client.

In case of non-individual accounts the service will be available only to one mobile number as provided to stock Broker/Stock Exchanges as provided in the above details.

Client acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or inaccuracy. In case the client observes any error in the information provided in the alert, the client shall inform the Stock Broker/Stock Exchange immediately in writing and the stock Broker/Stock Exchange will make best possible efforts to rectify the error as early as possible.

The information sent as an alert on the mobile phone number/ Email ID shall be deemed to have been received by the client and the Stock Broker / Stock Exchanges shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

The Stock Broker/Stock Exchanges will make best efforts to provide the service. The Client cannot hold the Stock Broker/ Stock Exchanges liable for non-availability of the service in any manner or for any non-delivery, delayed delivery or distortion of the alert in anyway whatsoever.

Stock Exchanges reserves the right to charge such fees from time to time as it deems fit for providing this service to the Client as governed by the regulatory authorities.

I/We agree that the member will not be responsible for non receipt of documents sent via electronic delivery due to change in email address or for any other reason which inter alia include my/our email/inbox running out of capacity, mail function of my/our computer system/server/internet connection etc.

The Stock Broker/Stock Exchanges shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorised access to the information meant for the Client. In consideration of the Stock Broker / Stock Exchanges providing the service, the Client agrees to indemnify and keep safe, harmless and indemnified the Stock Broker / Stock Exchanges and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a Stock Broker/ Stock Exchanges may at anytime incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the Client. The Stock Broker/Stock Exchanges shall also not be liable for any delay or any other interruption which may occur in providing the date due to force majeure, communication failure, any technical reason including network (internet) related reasons, system failure or any other form of breakdown of services or the inability of the Broker / Exchange to send the data beyond the control of the Broker/Exchange.

The Stock Broker/ Stock Exchanges may amend the terms and conditions by giving prior notice to the Client. Any such amendments shall be binding on the Client who is already registered as user of this service.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the Stock Broker/ Stock Exchanges from time to time. I/We further undertake to pay fee/charges as may be levied by the Stock Exchange from time to time, as applicable, I/We am/are aware that mere acceptance of the registration from does not imply in any way that the request has been accepted by the Stock Broker/Stock Exchanges for providing the service. Providing the Service as outlined above shall be governed by the laws of India. I/We agree to intimate to Stock Broker, for any change in my mobile number and/or email ID provided to you in writing.

	Name of Holders	Signature(s)
First / Sole Holder		
Second Holder		
Third Holder		

**UCC Code** \_\_\_\_\_ **BO ID : 12080200**

Date											Place	
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To,

**VOLUNTARY**

**Arham Wealth Management Pvt. Ltd.**

**Reg. Office Add.:** Unit No. 418, 419, 419A, 4th Floor, DSCCSL Tower, Block-53, Road 5c Gift City, Gandhinagar Gujarat-382355

**Correspondence Add. :** B-2, Ground Floor, International Trade Centre, Majuragate, Ring Road, Surat-395002.

Dear Sir,

I/We hereby consent to receive the procedure for filling the complaints on SEBI Complaint Redress System (SCORES). Following are the procedures for filling complaint.

SCORE website : <https://scores.sebi.gov.in>

**Filing of complaints on SCORES - Easy & Quick**

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES : i. Name, PAN, Address, Mobile Number, Email ID
- c. Benefits : i. Effective Communication ii. Speedy redressal of the grievances

	<b>Name of Holder</b>	<b>Signature(s)</b>
<b>First / Sole Holder</b>		
<b>Second Holder</b>		
<b>Third Holder</b>		

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

I/We hereby consent to receive from AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE.

I/We hereby consent to receive from Arham Wealth Management Private Limited the digital contract notes, bills, ledgers, transaction statements, DEMAT statement of accounts/DEMAT transaction statement/holding statement(s)/bills/other statements, notices, retention statement, 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/our below mentioned E-mail Id (said E-mail Id).

E-mail Id: \_\_\_\_\_

I/We further hereby agree that AWMPL shall fulfil the legal obligation, if the above documents are sent electronically to the said E-mail 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 E-mail 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 E-mail account. AWMPL 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/We am/are 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 E-mail Id(s)
3. AWMPL 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 AWMPL
4. AWMPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof
5. AWMPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from AWMPL
6. I/We shall inform AWMPL by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail 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 AWMPL. 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. Further I/we agree and undertake to indemnify AWMPL 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
9. In case of bounced E-mail, AWMPL shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges

**UCC Code** \_\_\_\_\_

**BO ID : 12080200**

	<b>Name of Holders</b>	<b>Signature(s)</b>
First / Sole Holder		
Second Holder		
Third Holder		



B/2, Ground Floor, ITC Building, Majura gate, Ring Road, Surat - 395002

Date								
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### Annexure

### Aadhaar Consent letter

**Date :**

**To,**

**National Stock Exchange of India Ltd.**, Exchange Plaza, C-1, Block G, Bandra, Kurla Complex, Bandra (E) Mumbai - 400 051  
**BSE Limited.** - Phiroze Jeejeebhoy Towers, Dalai Street, Mumbai - 400 001

**Multi Commodity Exchange of India Limited** - Exchange Square, Suren Road, Chakala, Andheri (East), Mumbai - 400 093

**National Commodity & Derivatives Exchange Limited** - Akruti Corporate Park, 1st Floor, Near G.E. Garden, LBS Marg, Kanjurmarge (West), Mumbai- 400078. .

**Indian Commodity Exchange Limited.** - 1st Floor, Office - 109, Blue Diamond, Nodh No. 1158 to 63/65/9, Hat Faliya, Mahidhpura, Surat, Gujarat - 395 003.

**Subject: Consent to use Aadhaar card copy**

**Ref : Application for New membership/KYC/AP Registration**

**Dear Sir,**

I the undersigned \_\_\_\_\_, understand that I can submit either of the following document copy as an address proof for registration,

- a. Voter ID Card
- b. Driving License
- c. Passport
- d. Ration Card
- e. Aadhaar Card
- f. Utility Bills

I willingly give my consent to NSE I BSE / MCX / NCDEX / ICEX to accept copy of my Aadhaar card and proceed with the referred application.

**Thanking you,**

**Yours Sincerely**

**Name of Client :** \_\_\_\_\_  
**(Aadhaar Owner)**

**Signature of Client :** \_\_\_\_\_  
**(Aadhaar Owner)**

## ACKNOWLEDGEMENT OF KYC DOCUMENTS

To,



B/2, Ground Floor, ITC Building, Majura gate, Ring Road, Surat - 395002

Dear Sir/Madam,

**Sub : Acknowledgement of Receipt of KYC Documents**Mode of Receipt  Email  Physical

Date									
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Ref : Client Code : \_\_\_\_\_, BO ID : 12080200 \_\_\_\_\_

I/We hereby acknowledge receipt of the following documents

1. Xerox copy of KYC Form including CKYC Form
2. A copy of Nomination Form
3. A copy of Trading Brokerage Structure
4. A copy of DP Tariff Sheet
5. Right & Obligations of Client & stock broker
6. Risk Disclosure Documents (RDD)
7. Guidance Note
8. Policy and Procedure
9. Right & Obligations of BO & DP
10. SMART – Terms & Conditions (Annexure 2.4)
11. Trust – Terms & Conditions (Annexure 2.6)
12. A copy of BSDA facility option form
13. A copy of Running Account Authorisation
14. A copy of letter for debit demat
15. A copy of consent for use of common Email id & common Mobile no.
16. Xerox copy of POA
17. Xerox copy of Identity Proof, Address Proof & Bank Proof.
18. Login details of Back office software.
19. Terms & Condition for availing service with Arham Wealth Management Pvt. Ltd.
20. Investor Charter document.
21. Most Important Terms and Condition
22. Policy on Voluntary freezing of trading account
23. Xerox Copy of DDPI

Also I/we have read, received & understood term & conditions, right & obligations of client & stock broker, right & obligations of beneficiary owner & depository participants as prescribed by SEBI and risk disclosure documents for capital market, derivative market, currency derivative market segment & Commodity Segment. I/we understand the risk involved in trading in stock market & same was also explained by the official of Arham Wealth Management Pvt. Ltd. at the time of account opening. Also noted Arham's website [www.arhamwealth.com](http://www.arhamwealth.com) for latest updatations related to above.

Thanking you.

Regards,



Signature of First/Sole Holder)



Signature of Second Holder)



Signature of Third Holder)