

ACCOUNT OPENING RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS					
Bank Name	Branch address	Bank Account Number(s)	Account Type:	MICR Number	IFSC code
❖ Mention - Saving/Current/ Others-In case of NRI/NRE/NRO for Account Type					
❖ For Multiple Bank Account Details use Separate Sheets					
B. DEPOSITORY ACCOUNT(S) DETAILS					
Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)	
❖ For Multiple Demat Account Details use Separate Sheets					
C. PAST ACTIONS					
Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years					
D. INTRODUCER DETAILS					
Name of the Introducer:					
	(Surname)	(Name)	(Middle Name)		
Status of the Introducer:	Existing Client / Others, please specify.....			PAN of Introducer	
Address and phone no. of the Introducer:					
Signature of the Introducer:			Date:	Client Code:	
E. NOMINATION DETAILS (for individuals only)					
I/WE WISH TO NOMINATE / I/WE DO NOT WISH TO NOMINATE			Signature:		
Name of the Nominee:					
	(Surname)	(Name)	(Middle Name)		
Relationship with the Nominee:			Date of Birth of Nominee:	PAN of Nominee	
Address and phone no. of the Nominee:					
IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN:					
Name of Guardian:					
	(Surname)	(Name)	(Middle Name)		
Address and phone no. of Guardian					
Signature of Guardian				Date:	

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<p>Photograph of Nominee</p> <p>Signature of Nominee across Photograph</p>	<p>Photograph of Guardian (in case of minor)</p> <p>Signature of Guardian across Photograph</p>
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WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Address		Address	
Signature		Signature	
	Date		Date

OTHER DETAILS (INDIVIDUAL)

1. **Gross Annual Income Details (please specify):**

Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / >25 Lacs or

Net-worth as on _____ (_____) (Net worth should not be older than 1 year)

2. **Occupation (please tick any one and give brief details):** Private Sector/ Public Sector/ Government

Service/Business/ Professional/ Agriculturist/ Retired/ Housewife/ Student/ Others _____

3. **Please tick, if applicable:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

4. **Any other information:** _____

OTHER DETAILS (NON-INDIVIDUAL)

1. **Gross Annual Income Details (please specify):**

Income Range per annum: Below Rs 1 Lac / 1-5 Lac /5-10 Lac / 10-25 Lac / 25 Lacs-1 crore / > 1 crore

2. **Net-worth as on** (date) _____(dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)

3. **Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)

4. **Any other information:** _____

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 Fees Structure.

3. I/We further confirm having read and understood the contents of the 'Disclosure Document' provided by Stewart & Mackertich at least 2 days prior to entering into Portfolio Management Services Agreement. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We do not have access to un-published price sensitive

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information in any Body Corporate. I/We hereby declare that the amount invested in the same is through legitimate sources/ channel only and does not involve and is not designated for the purpose of any contravention or evasion of any Act, Regulations, Notifications & Directions of the provisions of Income Tax Act, Prevention of Money laundering Act, Anti Corruption Act or any other applicable laws enacted by the Government of India or any Statutory Authority from time to time. I/We have also been informed that the standard set of documents has been displayed for Information on Portfolio Manager's designated website, if any.

ADDITIONAL DECLARATION APPLICABLE TO NRIs ONLY

4. I/We hereby confirm that I am / We are Non-Resident of India Nationality / Origin. I/We hereby confirm that the funds for investment have been remitted from abroad through approved banking channels or from funds in my/our Non-Resident External/Ordinary Account/ FCNR Account.

Note: Please furnish list of any such body corporate in the relevant section provided subsequently, if your statement is affirmative.

Signature of Client / (All) Authorized Signatory (ies)		Signature of Client / (All) Authorized Signatory (ies)	
Place:	Date:	Place:	Date:

FOR OFFICE USE ONLY

UCC CODE ALLOTTED TO THE CLIENT:			
	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

We undertake that we have made the client aware Fees Structure and Disclosure Documents. We have given/sent the client a copy of all the KYC documents. We undertake that any change in the Disclosure Documents and Fees Structure would be duly intimated to the clients. We also undertake that any change in the 'Disclosure Documents and Fees Structure would be made available on our website, if any, for the information of the clients.

Name of Authorized Signatory		
Date		Seal/Stamp of Stewart & Mackertich Wealth Management Limited
Place		
		Signature of the Authorized Signatory

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INSTRUCTIONS/ CHECK LIST

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals: (A) Portfolio Manager has an option of doing 'in-person' verification through web camera at the branch office of the Portfolio Manager's office. (B) In case of non-resident clients, employees at the Portfolio Manager's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the Portfolio Manager's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals: (A) Form need to be initialized by all the authorized signatories. (B) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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Sign _____