



Sr. No. _____

Date: _____

Client Code: _____

DP ID: 12025500



CLIENT REGISTRATION KIT

BSE / NSE / CDSL

(Individual / NRI)

INSTRUCTIONS FOR FILLING UP AND COMPLETING THE ACCOUNT OPENING DOCUMENTS:

1. Please provide all the information asked in the form and attach copies of the documents required.
2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature.
3. Please produce original documents for verification at the time of form submission.
4. Certain additional Annexures are incorporated in order to ensure smooth functioning of Trading facilities / services offered by the Trading Member and these facilities are voluntary and client needs to read the same carefully before signing.
5. The information given here would be confidential. However, if the information is required by SEBI, by any Stock Exchange or by any government agency it may be given to them.
6. Signature Guide
 - a) Signature of Client / First Holder ☺
 - b) Signature of the Introducer ⌘
 - c) Signature of Nominee ⊗
 - d) Signature of Guardian ☹
 - e) Signature of the Witness of the Client ✍
 - f) Signature of the Witness of Member / DP / Authorized signatory ✍
 - g) Signature of member / DP / Authorised Signatory 👍
 - h) Signature of In Person Officer 🖐

Proof of Identify and Proof of Address is compulsory for all holders in the Account.

Documents that can be furnished for proof of Identity and Correspondence Addresses.

Proof of Identify (Any one):

- 1) Passport
- 2) Driving License
- 3) Aadhar Card
- 4) Voter ID Card
- 5) PAN Card

Proof of Address (Any one):

- 1) Ration Card
- 2) Voter ID Card
- 3) Driving License
- 4) Passport
- 5) Aadhar Card
- 6) Electricity Bill / Telephone Bill (not more than 3 months old)
- 7) Leave and License Agreement / Agreement for sale.

ADDITIONAL DOCUMENTS:

1) For trading in Derivative Segment proof of financial details required. (Any one of the following)

- a) Copy of acknowledgment of latest Income Tax Return.
- b) Copy of annual accounts.
- c) Net-worth Certificate
- d) Bank account statement for last six months.
- e) Copy of DEMAT holding statement.
- f) In case of Salaried persons Latest Salary Slip and Form 16 copy.
- g) Any other relevant documents substantiating ownership of assets.
- h) Self declaration along with relevant supporting.

2) For NRI Clients only (NRI Clients need to provide ALL of the following documents and details.)

- a) Details of Indian Address and Foreign Address along with proof.
- b) Copy of Passport (validity remains atleast 6 months).
- c) Copy of RBI approval / PIS Letter for dealing in securities market.
- d) Certified true copy of POA duly notarized.
- e) Bank verification Letter / Cheque Leaf indicating type of accounts as NRI / NRE / NRO.
- f) If a person is not able to get the document in original then, photocopies of all the KYC document / proof and PAN card are attested by the indian embassy / consulate general / notary public / any court / magistrate / local banker in the country where the NRI resides.

NOTE

- Please ensure that all the above mentioned documents are submitted along with the form fully complete with signatures.
- Please provide clear copies of the documents.
- Please note that no other proof other than mentioned above would be accepted.
- In case the applicant is a spouse / child, where proof of address is in the name of spouse / parent, then the document such as Ration Card evidencing their relationship should be submitted.
- Please strike off whichever part of the application is not applicable to you.

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.

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

		BROKERAGE SLAB	
		EXCHANGE-SEGMENT	BROKERAGE
BRANCH CODE _____		BSE - CASH	
RM CODE _____		BSE - F&O	
REMISER / BDA CODE _____		NSE - CASH	
PHYSICAL CONTRACT NOTE ☐ YES ☐ NO		NSE - F&O	
ON-LINE TRADING ☐ YES ☐ NO		NSE - SLB	

ROHA WELLWORTH SECURITIES PVT. LTD.

Registered / Correspondence Office:

501, Akruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle (East), Mumbai - 400 057, Maharashtra, India

Email: contact@rohawellworth.com • Contact no.: 91-22-6715 9000 - 9100 • Website: www.rohawellworth.com

PARTICULAR	REG. NO.
SEBI	INZ000329332
CDSL	IN-DP-842-2026

MEMBER OF : • National Stock Exchange of India Ltd. **(NSE)** Member Code: 10557 • BSE Limited **(BSE)** Member Code: 0106
• Central Depository Services (India) Ltd. **(CDSL)** Member Code: 12025500

	Name	Phone No.	Email id
Compliance Officer - Stock Broker	Mr. Bhavesh R. Mehta	022-67159001	bhavesh.mehta@rohawellworth.com
Compliance Officer - DP	Mr. Dharmesh R. Shah	022-6715 9042	dharmesh.shah@rohawellworth.com
CEO	Mr. Bhavesh R. Mehta	022-67159001	bhavesh.mehta@rohawellworth.com

For any grievance/dispute please contact **ROHA WELLWORTH SECURITIES PVT. LTD.** at the above address or email id – cdslgrievance@rohawellworth.com and Phone no. **91-22-6715 9000**. In case not satisfied with the response, please contact the concerned exchange(s) as given below:

Exchange	Email Id / Website	Phone No.
BSE Limited	isc.mumbai@bseindia.com / www.bseindia.com	+91 22 2272 8217
National Stock Exchange of India Ltd.	ignse@nse.co.in / www.nseindia.com	1800 266 0050
Central Depository Services (India) Ltd.	complaints@cdslindia.com / www.cdslindia.com	1800 210 9911
SEBI SCORES	www.scores.sebi.gov.in	1800 266 7575

DISCLOSURE OF PROPRIETARY TRADING

As required under Circular No. SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003 issued by the Securities and Exchange Board of India, we hereby disclose that in addition to client-based business, we are doing proprietary trading.

SELF CLEARING MEMBER

NSE CASH F&O / BSE CASH F&O

INDEX

Sr No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, CDSL & EXCHANGES			
1.	ACCOUNT OPENING FORM	A. KYC 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 and Demat Account and an Instruction / check list.	1-8
2.	NOMINATION FORM	Nomination for Trading and Demat Accounts	9-12
3.	MITC	Most Important Terms and Conditions (MITC)	13
4.	TARIFF SHEET	Tariff Sheet – Broking and DP	14
5.	RIGHTS AND OBLIGATIONS	Document stating the Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	15-17
6.	(FATCA) DECLARATION	Confirmation under the foreign account tax compliance act (FATCA) for determining us person status	19-20
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	DDPI	Demat Debit and Pledge Instruction (DDPI)	21
8.	RIGHTS AND OBLIGATIONS	Rights and Obligations Document for SLBS Segment	22-25
9.	RUNNING ACCOUNT AUTHORISATION	Running Account Authorisation for all Exchanges	26
10.	FEMA DECLARATION	FEMA Declaration for NRI Account	27
11.	DECLARATION FOR COMMON MOBILE NO./EMAIL ID	Declaration for common mobile number or email ID for Demat and Trading accounts	28
12.	POLICY ON FRAMEWORK FOR TRADING MEMBER	Policy on Framework for Trading Member to Provide the Facility of Voluntary Freezing / Blocking the Online Access of the Trading Account to Their Client on Account of Suspicious Activities, This Forms A Part of the Risk Management Policy	29-30
13.	ACKNOWLEDGEMENT	Acknowledge receipt of the all documents	31

Know Your Client (KYC)
Application Form (For Individuals Only)



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also

Ckyc Number :

Application Number :

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: Please Tick (✓)

☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____

Maiden Name* (if any) _____

Fathers/Spouse's Name* _____

Date of Birth* _____

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* ☐ Resident Individual ☐ Non Resident Indian

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin*

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC.
Select NRI or Foreign National based on Nationality of the individual)

Recent passport size
Applicant Photo

Cross Signature across photograph

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A — Aadhaar Card XXXX XXXX _ _ _ _

(Expiry Date) _____

☐ B — Passport Number _____

☐ C — Voter ID Card _____

(Expiry Date) _____

☐ D — Driving License _____

☐ E — NREGA Job Card _____

☐ F — NPR _____

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

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

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

State* _____ Country* _____

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

* Proof of Correspondence Address :

* Aadhaar Card : _____ * Passport Number : _____

* Voter ID Card : _____ * Driving License : _____

* Bank Statement _____

Applicant e-SIGN

*

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

Line 1*

Line 2

Line3

City/

Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐

Residential/Business

☐

Residential

☐

Business

☐

Registered Office

☐

Unspecified

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

☐ A — Aadhaar Card	XXXX XXXX ____	
☐ B — Passport Number		(Expiry Date) _____
☐ C — Voter ID Card		
☐ D — Driving License		(Expiry Date) _____
☐ E — NREGA Job Card		
☐ F — NPR Letter		
☐ Z—Others		(any document notified by Central Government)
Identification Number		

3. Contact Details (in CAPITAL)

Email ID*

Mobile No. *

Tel (off)

Tel (Res)

4. Applicant Declaration

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

5. For Office Use Only

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

OTHER INFORMATION (TRADING AND DEMAT ACCOUNT)

A. BANK ACCOUNT DETAILS

Bank Name	Bank Address	Bank A/c No.	Account Type*	MICR No.	IFSC Code

*Saving / Current / Others – In case of NRI / NRE / NRO

B. DEMAT ACCOUNT DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C. OTHER DETAILS

GROSS INCOME DETAILS	FIRST/SOLE HOLDER (Demat / Trading Account)
	☐ < 1Lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ > 25 Lacs OR Net-worth as on (date) Rs. _____ Date _____. (Net worth should not be older than 1 year)
	SECOND HOLDER (Demat Account)
	☐ < 1Lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ > 25 Lacs OR Net-worth as on (date) Rs. _____ Date _____. (Net worth should not be older than 1 year)
	THIRD HOLDER (Demat Account)
	☐ < 1Lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ > 25 Lacs OR Net-worth as on (date) Rs. _____ Date _____. (Net worth should not be older than 1 year)

Occupation	FIRST/SOLE HOLDER (Demat / Trading Account) ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retire ☐ Housewife ☐ Student ☐ Others (please Specify)_____
	SECOND HOLDER (Demat Account) ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retire ☐ Housewife ☐ Student ☐ Others (please Specify)_____
	THIRD HOLDER (Demat Account) ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retire ☐ Housewife ☐ Student ☐ Others (please Specify)_____
PEP/RPEP	FIRST/SOLE HOLDER (Demat / Trading Account) ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
	SECOND HOLDER (Demat Account) ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
	THIRD HOLDER (Demat Account) ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)
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: _____
COMMON EMAIL ID / MOBILE NO. DECLARATION	Email ID: _____ Name of the person in whose name the email ID is registered: _____ Relationship with the person: ☐ Self ☐ Dependent Parent ☐ Dependent Child ☐ Spouse Mobile No.: _____ Name of the person in whose name the mobile no. is registered: _____ Relationship with the person: ☐ Self ☐ Dependent Parent ☐ Dependent Child ☐ Spouse
ANY OTHER INFORMATION	_____ _____ _____

D. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.		
EXCHANGE	NSE & BSE	
All Segment	Cash / Mutual Fund	F & O
		
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.		

E. OTHER DETAILS

DEALINGS THROUGH AUTHORISED PERSON	If client is dealing through the authorised person, provide the following details: Authorised person's Name: _____ Registration No.: _____ Registered Office address: _____ Phone No.: _____ Email: _____ Website: _____	
DEALINGS THROUGH OTHER STOCK BROKERS	Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all) Name of Stock Broker: _____ Client Code: _____ Exchange: _____ Details of disputes / dues pending from/to such stock broker: _____	
MODE OF RECEIPT OF CONTRACT NOTE	☐ Physical contract note or ☐ Electronic Contract Note (ECN) Specify your Email id, if applicable: _____	
INTERNET TRADING/ WIRELESS TECHNOLOGY FACILITY	Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): ☐ Yes ☐ No	
NUMBER OF YEARS OF INVESTMENT/ TRADING EXPERIENCE		_____ Years
INTRODUCER DETAILS (OPTIONAL)	Name of Introducer: _____ Status of the introducer: Remisier/Authorized Person/Existing client/Others, please specify _____ Address and phone no. of the Introducer: _____ Signature of the Introducer: _____	

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.

Place: _____

Date: _____

SIGNATURE OF CLIENT

First Holder / Sole	Second Holder	Third Holder
		

FOR OFFICE USE ONLY

UCC allotted to the Client: _____

	Documents verified with original	Client interviewed by	In-person verification done by
Name of the employee			
Employee code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For **ROHA WELLWORTH SECURITIES PVT. LTD.**

Date: _____



(Authorised Signatory)

SEAL/STAMP OF THE STOCK BROKER

ADDITIONAL FORM FOR DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.:

Date: DD / MM / YYYY

DP Internal Reference No. _____

DP ID	1	2	0	2	5	5	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

(To be filled by the applicant in **BLOCK LETTERS** in English)

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

HOLDERS DETAILS

SOLE / FIRST HOLDER'S NAME	_____	PAN UID UCC Exchange Name & ID _____
SECOND HOLDER'S NAME	_____	PAN UID UCC Exchange Name & ID _____
THIRD HOLDER'S NAME	_____	PAN UID UCC Exchange Name & ID _____
Name*	_____	

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

Status	Sub Status	
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/C (MANTRA) ☐ Others(specify) _____	☐ Individual-Director ☐ Individual HUF / AOP ☐ Minor
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI – Depository Receipts	☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others (specify) _____
☐ Foreign National	☐ Foreign National ☐ Others (specify) _____	☐ Foreign National - Depository Receipts

DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

Guardian's Name		PAN
Relationship with the applicant		

OTHER DETAILS

I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	☐ Yes ☐ 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')	☐ Yes ☐ No
Account statement requirement	☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐ As per SEBI regulation
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID: _____	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report (If not marked the default option would be Physical)	☐ Physical ☐ Electronic ☐ Both
I/ We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
BSDA facility	☐ I / We wish to avail the BSDA facility. ☐ I/ We do NOT wish to avail BSDA facility.
SMS alert facility Mobile number: _____	☐ Yes ☐ No (Mandatory if DDPI is given)

OPTION FORM FOR ISSUE OF DIS BOOKLET☐ **Option 1 :**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us.

OR

☐ **Option 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

easi

To register for easi, please visit our website www.cdslindia.com.

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

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.

☐ All Holder

☐ Email

☐ First Holder

☐ Email

☐ Second Holder

☐ Email

☐ Third Holder

☐ Email

	First/Sole holder	Second Holder	Third Holder
Name			
Signatures			

SMS ALERT AND TRUST FACILITY:

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below.

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions of receiving SMS alerts from CDSL and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL

a. SMART-SMS alert facility

b. TRUST- TRansaction using Secured Texting facility

Sole / First Holder's Name	
Second Holder's Name	
Third Holder's Name	

I/We wish to register the following clearing members / IDs under my/our above mentioned BO ID registered for TRUST

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

Mobile Number on which messages are to be sent	+ 91										
--	------	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

(Existing users registered for SMS alerts:- Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The mobile number is registered in the name of:

(Name) _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/we acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be wholly responsible for execution / non-execution of the said transactions based on receipt/non-receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/ charges as may be levied by the depository from time to time.

	First Holder / Sole	Second Holder	Third Holder
Name			
Signatures	☺	✻	☉

NOMINATION FOR TRADING AND DEMAT ACCOUNTS

To,
ROHA WELLWORTH SECURITIES PVT. LTD.
 501, Akruti Orion, 5th Floor, Shraddhanand Road,
 Vile Parle East, Mumbai - 400 057.

Nominee Registration No.: _____

Date: _____

BO Account Details	DP ID	1	2	0	2	5	5	0	0	BO ID								UCC									
I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)*																											
NOMINATION DETAILS																											
<u>MANDATORY DETAILS</u>																											
Nomination can be made upto three nominees in the account.										<u>Nominee - 1</u>								<u>Nominee - 2</u>								<u>Nominee - 3</u>	
1	Name of the nominee(s) (Mr./Ms.)																										
2	Share of Nominee (%)**									%								%								%	
	☐ Equally [If not equally, please specify percentage]									<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																	
3	Relationship With the Applicant (If Any)																										
4	Postal Address																										
5	Mobile Number & E-mail																										
6	Identify Number***																										
<u>ADDITIONAL DETAILS****</u>																											
7	D.O.B. of nominee																										
8	Guardian																										
*Joint Accounts:																											
<u>Event</u>														<u>Transmission of Account</u>													
Demise of one or more joint holder(s)														Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.													
Demise of all joint holders simultaneously - having nominee														Nominee													
Demise of all joint holders simultaneously - not having nominee														Legal heir(s) of the youngest holder													

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI/PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DOB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

1) I/We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

☐ _____ Name of nominee(s)

☐ _____ Nomination: Yes/No

2) Signature(s) - As per the mode of holding in demat account(s)

	<u>Name(s) of Holder(s)</u>	<u>Signature(s) of Holder*</u>
<u>First Holder / Sole (Mr./Ms.)</u>		☺
<u>Second Holder (Mr./Ms.)</u>		✱
<u>Third Holder (Mr./Ms.)</u>		⊙

	<u>Signature(s) of Two Witnesses*</u>	<u>Name(s) of Witness & Address</u>
1.		
2.		

* Signature of two Witness(es), along with name and address are required. if the account holder affixes thumb impression, instead of wet signature.

Rights. Entitlement and Obligation of the investor and nominee:

- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.
 - 'Either or Survivor' Accounts - any one of the holder can sign
 - 'First holder' Accounts - only First holder can sign
 - 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% Initial share	% of A's share to be apportioned	Total % share
A	60%	A	0%	0%	0%
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

cont... Page no. 12

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INTENTIONALLY LEFT BLANK

DECLARATION FORM FOR OPTING OUT OF NOMINATION

To,
ROHA WELLWORTH SECURITIES PVT. LTD.

501, Akruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle East, Mumbai - 400 057.

Date: _____

BO Account Details	DP ID	1	2	0	2	5	5	0	0	BO ID								UCC							
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my our 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 demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.																									
										<u>Name(s) of Holder(s)</u>										<u>Signature(s) of Holder*</u>					
<u>First Holder / Sole (Mr./Ms.)</u>																				☺					
<u>Second Holder (Mr./Ms.)</u>																				✱					
<u>Third Holder (Mr./Ms.)</u>																				☉					
										<u>Signature(s) of Two Witnesses*</u>										<u>Name(s) of Witness & Address</u>					
1.																									
2.																									

* Signature of two Witness(es), along with name and address are required. if the account holder affixes thumb impression, instead of wet signature.

Acknowledgment Receipt

Receive nomination request from:																									
DP ID	1	2	0	2	5	5	0	0	Client ID									TRADING Code							
Name																									
Address																									
Nomination in favour of																									
First-Nominee																									
Second- Nominee																									
Third - Nominee																									
No Nomination										☐ Does not wish to nominate															
Registration No.										Registered on:															
For ROHA WELLWORTH SECURITIES PVT. LTD.  (Authorised Signatory)																									

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.

Signature:  _____

TARIFF SHEET – BROKING & DP	MANDATORY
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Segment	Sq. off %		Sq. off Min (ps)		Settlement %		Settlement Min (ps)	Delivery %	Delivery Min (ps)
	Buy	Sell	Buy	Sell	Buy	Sell			
BSE Cash									
BSE Futures									
BSE Options									
NSE Cash									
NSE Futures									
NSE Options									
Others									

TARIFF SHEET - DP

Sr. No.	Particulars	Tariff in Rs.
1.	Demat Account Opening	NIL
	Demat Debit and Pledge Instruction (DDPI)	Rs. 500.00
2.	Annual Maintenance	
	BSDA AMC Charges (Holding Value upto Rs. 4 lac)	NIL
	BSDA AMC Charges (Holding Value 4 Lac to 10 Lac)	Rs. 100
	Individual (Holding Value More than Rs. 10 Lac)	Up to Rs. 1500.00
	CM / Corporates / Other	Up to Rs. 3000.00
3.	Account Closing Charges	NIL
4.	Dematerialisation per Certificate, (Courier Charges Extra)	Rs. 25.00
5.	Rematerialisation (per certificate)	Rs. 25.00
6.	Debit Transation per ISIN (On Market - Off marker / Inter Depository)	Up to Rs. 15.00 / 0.05% (Which ever is higher)
7.	Pledge / Unpledge per ISIN (Other than Margin Pledge)	Rs. 35.00
8.	Margin Pledge & Unpledge Charges per ISIN	Margin Pledge Rs. 10.00 per Scrip Margin Unpledge Rs. 10.00 per Scrip
9.	Delivery Instruction Slip (DIS) Book charges (Courier Charges Extra)	Rs. 15/-
10.	Custody Charges	NIL
11.	KRA Charges	Up to Rs. 35.00

Notes :

1. Annual Maintenance Charges and DDPI Charges have to be paid at the time of Account Opening.
2. Any debit balance for more than one month from Bill Date will attract interest @ 13% p.a.
3. All the transaction charges calculated would be based on the Price File provide by Depository.
4. Clients having Trading Account with ROHA WELLWORTH SECURITIES PVT. LTD. will be debited DP Charges to their Trading Account.
5. Statutory levies and charges will be added on above charges, as applicable.

	First Holder / Sole	Second Holder	Third Holder
Name			
Signatures	☺	✱	⊙

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the epository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the (BO), the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of 2 working days as per procedure specified from time to time by the depository in case of no outstanding dues and in case of outstanding dues, shall provide 30 days notice. In case of non-payment of dues, DP shall reject the account closure request and in case the dues are cleared by BO, respective account shall be closed by DP within 2 working days of clearing the dues. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the (BO) or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

22. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

26. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

27. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

28. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
29. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Byelaws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
30. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
31. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI
32. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
33. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

	First Holder / Sole	Second Holder	Third Holder
Name			
Signatures	☺	✻	☉

**CONFIRMATION UNDER THE FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)
FOR DETERMINING US PERSON STATUS****MANDATORY**

[Mandatory for all investors including Unit holder (Guardian in case of minor) and Joint holder(s)]

To,
ROHA WELLWORTH SECURITIES PVT. LTD.,
501, Ackruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle East, Mumbai-400 057.

APPLICANT'S INFORMATION

Trading A/c No.

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Demat A/c No.

FATCA DECLARATION FOR INDIVIDUAL CLIENTS

Please provide a response common to all holders in the folio(s). For eg : If the answer to any one of the question for any one of the holder is "Yes", please tick on "Yes" against the question.

FOR INDIVIDUAL INVESTORS (INDIVIDUAL / NRI / HUF / ON BEHALF OF MINOR / PROPRIETORSHIP FIRM)

FATCA Compliance Confirmation Indicia	"Yes" or "No" please (✓)	
Are you a resident or Citizen of the United States?	☐ Yes	☐ No
Is US your place of birth?	☐ Yes	☐ No
Do you have a US telephone number in the capacity of a resident / citizen of US?	☐ Yes	☐ No
Do you hold any residence / mailing address / 'C/o address' / hold mail address / PO Box address in the US?	☐ Yes	☐ No
Is your POA holder based out of US or hold US residence / citizenship?	☐ Yes	☐ No
Do you pay tax in the US?	☐ Yes	☐ No
Do you hold an Identification Number or any identification that indicates US residence / citizenship?	☐ Yes	☐ No

In case of individual client who is a resident or Citizen of the United States:

Spouse Name : _____

Nationality : _____ Place of Birth : _____

Tax Identification Number (TIN) allotted by Tax resident country : _____

TIN Issuing country : _____

Foreign Address : _____

DECLARATION & SIGNATURE(S) (To be signed as per mode of holding)

Client agrees to provide the trading member and/or depository participant with any documentation or information requested relating to individual or entity tax status. To the extent required by the trading member and/or depository participant, client hereby consents to the disclosure and reporting of any tax related information obtained or held by the trading member and/or depository participant to any local or foreign regulatory or tax authority ("Tax Authority"). Upon request by the trading member and/or depository participant, client hereby agrees to obtain a written waiver or consent from the entity's "substantial owners" or "controlling persons" and to provide those consents to the trading member and/or depository participant to permit it to disclose and report tax and account specific financial information to any local or foreign Tax authority. The terms "substantial owners" and "controlling persons" shall have the meaning as defined under local or foreign tax laws, regulatory guidance or inter governmental cooperation agreements. The potential consequences for failure to comply with requests for tax information, failure to respond to requests for waivers or consents for tax information disclosure, and/or failure to respond to requests to obtain waivers or consents from substantial owners or controlling persons, include, but are not limited to: (a) trading member and/or depository participant has the right to carry out actions which are necessary to comply with the local or foreign tax reporting obligations; (b) trading member and/or depository participant has the ability to withhold taxes that may be due from certain payments made to the client's account; (c) trading member and/or depository participant has the right to pay relevant taxes to the appropriate tax authority; (d) trading member and/or depository participant has the right to refuse to provide certain services; and (e) trading member and/or depository participant has the discretion to close client accounts. The client agrees to inform, or respond to any request from, the trading member and/or depository participant, if there are any changes to tax information previously provided.

	First Holder / Sole / Authorised Signatory 1
Name	
Signatures	

Place : _____

Date : _____

DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)

Whereas I/we hold Beneficial Owner number (**BOID**) _____ with Central Depository Services (India) Limited, through **ROHA WELLWORTH SECURITIES PVT. LTD.** bearing DP ID **12025500** and also member of Bombay Stock Exchange Limited and National Stock Exchange of India Limited bearing SEBI Registration No.: **INZ000329332**.

DEMAT ACCOUNT OF STOCK BROKER

Name of Exchange	Demat Account Number	Type of Account
BSE	IN653913	Pool
BSE	1202550000000084	Pool
NSE	IN562574	Pool Account
BSE/NSE	1202550000193350	Client securities margin pledge account
NSE	1202550000006320	Pool Account
BSE / NSE	1202550000216134	Client Nodal MFOS
BSE / NSE	1202550000215107	CUSPA ACCOUNT

PURPOSE OF DDPI

1. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the StockExchange through the same Stock Broker

	First / Sole Holder (for and on behalf of the BO)	Second Joint Holder	Third Joint Holder
Specimen Signatures	☺	✱	⊙

2. 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.

	First / Sole Holder (for and on behalf of the BO)	Second Joint Holder	Third Joint Holder
Specimen Signatures	☺	✱	⊙

3. Mutual Fund transactions being executed on Stock Exchange order entry platforms

	First / Sole Holder (for and on behalf of the BO)	Second Joint Holder	Third Joint Holder
Specimen Signatures	☺	✱	⊙

4. Tendering shares in open offers through Stock Exchange platforms

	First / Sole Holder (for and on behalf of the BO)	Second Joint Holder	Third Joint Holder
Specimen Signatures	☺	✱	⊙

For ROHA WELLWORTH SECURITIES PVT. LTD.



(SIGNATURE OF AUTHORISED SIGNATORY)

- i. The Securities and Exchange Board of India ("**SEBI**") has formulated and issued the Securities Lending Scheme, 1997 ("**SEBI Scheme**") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.
- ii. NSE Clearing Ltd. is an Approved Intermediary ("**AI**") registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as "**SLBS**") for facilitating lending and borrowing of securities through persons registered as "Participants".
- iii. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 ("**SEBI Circular**") has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/ Participant ("**Agreement**") for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant ("**Participant**"). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client ("**Rights & Obligations Document**").
- iv. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
- v. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.
- vi. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
- vii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
- viii. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

Rights of the Participant

- ix. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

- x. **Margins**
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.
- xi. **Recovery**
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.
- xii. **Obligations of the Participant**
The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.
- xiii. **Issue of Confirmation Memo**
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
- xiv. **Money /Securities to be kept in separate account**
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account/ settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.
- xv. **Update on Settlement Process**
The Participant agrees inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
- xvi. **Compliance with know your Client Norms**
The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person/ authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.
- xvii. **Reconciliation of Account**
The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
- xviii. **Return of Securities and Lending Fees**
Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -
a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.
b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.
- xix. **Delivery of Securities**
Where Client is a borrower unless otherwise agreed upon between the Participant and the Client -
The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

Rights of the Client

- xx. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client-
- a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive lender's fee for the securities lent.
- xxi. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client
- a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.
- xxii. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

Obligation of the Client

- xxii. **Abide by Law & Acquaintance to Law**
The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.
- xxiv. **Update & Comply with the Settlement Process**
Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.
- xxv. **Processing Charges**
The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.
- xxvi. **Change in Client Registration Form**
The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.
- xxvii. **Authorised Representative**
The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.
- xxviii. **Return of Securities**
The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.
- xxix. **Payment of Margins**
The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.
- xxx. **Exposure / Position Limits**
The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

xxxi. **Securities lent to be Unencumbered**

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

xxxii. **Collateral**

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

xxxii. **Insolvency**

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

xxxiv. **Cancellation of Transactions**

Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

xxxv. **Discontinuation of SLBS and Participation in SLBS**

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

ARBITRATION

xxxvi. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

xxxvii. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

Governing Law and Jurisdiction

xxxviii. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

xxxix. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

Client Signature :  _____

Date : _____

Client Name : _____

Client Code : _____

To,
ROHA WELLWORTH SECURITIES PVT. LTD.,
 501, Ackruti Orion, 5th Floor, Shraddhanand Road,
 Vile Parle East, Mumbai-400 057.

Dear Sir / Madam,

RE: Running Account Authorization

In order to facilities ease of operations of my/our trading account, I/We authorize you to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

I/We would like the mandatory settlement of funds (if applicable), be made as indicated below. (Tick against your preference)

☐ **Once in a Quarter**

☐ **Once in a Month**

Such settlement will be done as per directives issued by SEBI / Stock Exchanges from time to time.

I/We am/are aware that the authorization may be revoked by me/us any time at my/our own discretion without any advance notice.

Yours faithfully,

Client Signature :  _____

Date : _____

Client Name : _____

Client Code : _____

To,
ROHA WELLWORTH SECURITIES PVT. LTD.,
501, Ackruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle East, Mumbai-400 057.

Dear Sir / Madam,

Re: Application Number: _____

Sub: Application for opening of an NRI

This has reference to my/our application for opening of a trading & demat account with you.

In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,

Yours truly,

Client Signature :  _____

Date : _____

Client Name : _____

Client Code : _____

To,
ROHA WELLWORTH SECURITIES PVT. LTD.,
501, Ackruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle East, Mumbai-400 057.

Date : _____

Subject: Common Mobile number / Email ID For Demat and Trading accounts.

Dear Sir,

I, **Mr./Mrs.** _____ my **BO ID / UCC** _____

would like to confirm that the **Mobile number / E-mail ID** _____
is registered in my name.

I have to state that this is in my full knowledge and I have consented to the below clients who is / are my relative/s to state my mobile number/email id in their KYCs to which I have no objection.

Sr.	Client Name	BO ID	UCC	Relationship	Signature

Thanking You,

Name: _____

Signature:  _____

POLICY ON FRAMEWORK FOR TRADING MEMBER TO PROVIDE THE FACILITY OF VOLUNTARY FREEZING/ BLOCKING THE ONLINE ACCESS OF THE TRADING ACCOUNT TO THEIR CLIENT ON ACCOUNT OF SUSPICIOUS ACTIVITIES, THIS FORMS A PART OF THE RISK MANAGEMENT POLICY

VOLUNTARY

To,
ROHA WELLWORTH SECURITIES PVT. LTD.,
501, Ackruti Orion, 5th Floor, Shraddhanand Road,
Vile Parle East, Mumbai-400 057.

1. The framework for Roha Wellworth Securities Pvt. Ltd. (TM) for providing the facility of voluntary freezing/ blocking the online access (WellTrade) of the trading account to the clients on account two modes of the following communications through which the client may request for voluntary freezing/ blocking the online access of trading account in any suspicious activity is observes in the trading account:
 - a) Email from registered email ID
 - b) Call from registered mobile number on the dedicated number

The dedicated Phone No's and Email are as follows:

Dedicated land Line No.: 022 6715 9077

Email ID: stoptrade@rohawellworth.com

2. Roha Wellworth Securities Pvt. Ltd. (TM) shall take the following action on the receipt of request through the mentioned modes of communications for freezing / blocking of the online access of the trading account from the client:
 - a. Validated that the request is received from the client through the two mentioned modes of communication and issue the acknowledgement as well as freeze/ block the online access of the client's trading account and simultaneously cancel all the pending orders of the said client. The timelines for freezing/ blocking of the online access of the clients' trading account is as under"

Scenario	Timelines for issuing acknowledgement as well as freezing / blocking of the online access of the trading account
Request received during the trading hours and within 15 minutes before the start of trading	Within 15 Minutes
Request received after the trading hours and 15 minutes before the start of trading	Before the start of next trading session

- b. List freezing / blocking the clients' trading account, Roha Wellworth Securities Pvt. Ltd. (TM) shall send a communication on the registered mobile number and registered email ID of the clients, stating that the online access to the trading account has been frozen/ blocked and all the pending order in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.
 - c. Details of open position (if any) shall also be communicated to the client along with contract expiry information within one hour from the freezing/ blocking of the trading account

3. Roha Wellworth Securities Pvt. Ltd. (TM) has a mechanism in place to validate the request for freezing/ blocking of the online access of the trading account received from the respective client only. This can be done by Roha Wellworth Securities Pvt. Ltd. (TM) by:
 - a) Verifying whether request is received from the registered phone number/ email id of the client; or where request is received from other than registered phone number/email of the client, the Roha Wellworth Securities Pvt. Ltd. (TM) has a client authentication procedure (2 factor authentication) in place.
4. Roha Wellworth Securities Pvt. Ltd. (TM) shall maintain the appropriate records/logs including but not limited to, request received to freeze/ block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.
5. Re-enabling the client for online access of the trading account:- Roha Wellworth Securities Pvt. Ltd. (TM) shall re-enable the online access of trading account after carrying , out necessary due diligence including validating the client request and unfreezing/ unblocking the online access of the trading account.
6. It is clarified that:
 - a. Freezing/ blocking is only for the online access to the client's trading account, and there shall no restrictions on the Risk Management activities of the Trading Member.
 - b. The request for freezing/ blocking does not constitute request for making client unique client code (UCC) as inactive in the Exchange records.
7. Roha Wellworth Securities Pvt. Ltd. (TM) shall disclose on their website, the policy along with the process and mode(s) through which the client can place the request to freeze/block and unfreeze/ unblock the trading account along with the timelines that will be followed by the Roha Wellworth Securities Pvt. Ltd. (TM) for the same.

Client Signature - _____

I/We acknowledge receipt of the all documents executed by me/us including the following:

1. Account opening form
2. DDPI
3. Tariff Sheet
4. Most Important terms and conditions
5. FEMA Declaration

I/We acknowledge that I/We have downloaded the below mentioned document from the Website / QR code

Website link: https://rohawellworth.com/pdf/Retail_Clients/WelcomeLetter_Supportings.pdf

QR



1. Rights & Obligations of Stock brokers
2. Risk disclosure document
3. Guidance note (Do's and Don't's)
4. Investor charter – Stock Broker and DP
5. Policies and procedures
6. Terms & Conditions – SMS and TRUST Facility
7. Policy on Freezing / blocking of trading account.

Client Signature :  _____

Date : _____



ROHA WELLWORTH SECURITIES PVT. LTD.

501, Akroti Orion, Shraddhanand Road, Vile Parle (East), Mumbai - 400 057. INDIA

Tel.: +91-22-6715 9000 - 9100 • Email: contact@rohawellworth.com

Website: www.rohawellworth.com

Grievance E-mail: cdslgrievance@rohawellworth.com