

UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001

DPID : 13061300 SEBI Reg. No. IN-DP-CDSL-691-2013

Telephone No. : (0512) 2338220 • Fax No. : (0512) 2338220

Email : upsesecld@gmail.com



Branch Code _____
Branch Name _____

Internal Ref. No. _____

Demat Account No. **13061300**
(To be filled by DP)

Received Through _____

Date

D	D	M	M	Y	Y	Y	Y
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Instructions to the Applicant

General

1. All details are to be filled in CAPITAL LETTERS.
2. KYC form to be filled and signed by all the applicants, individually.
3. Thumb impressions and signatures other than English, Hindi or any of the other languages not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or Notary Public or a Special Executive Magistrate or by a banker with the name, address and telephone numbers of the attesting authority.
4. Minor account cannot be opened in joint names.
5. In case of Minor account, copy of birth certificate of the minor to be submitted.
6. In case of HUF, the account can be opened only in the name of Karta and declaration from all the coparceners as per our format is required.
7. Do not suffix "HUF", "& CO" in the name column.
8. Name on the application to be same as of PAN copy submitted.
9. Signature on the application to be same as of PAN copy submitted.
10. Address on the form to be same as of address proof submitted. PINCODE should be available on the form as well as on the proof.
11. Corrections if any, and blank column filled-in the stamped documents like DP Agreement, POA etc are duly authenticated by all the applicants.
12. Account cannot be opened by a Power of Attorney holder.
13. In case of NRIs separate accounts to be opened for NRE and NRO.
14. Before signing the form, ensure that the information provided are in order.
15. All communications shall be sent to the Sole / 1st applicant's address only.

KYC/Supporting Documents :

1. Self attested copy of PAN of all applicants to be submitted. In case of HUF PAN copy of both Karta and HUF needs to be submitted.
2. Self attested copy of valid ID Proof of all applicants to be submitted, if PAN copy submitted is not clear.
3. Self attested copy of valid Address Proof of all applicants to be submitted in case of Local / Permanent Address is different from Correspondence Address a separate proof should be provided.
4. Please produce the originals of the supporting documents to the bank official for verification.

Photographs :

1. Is required for all the applicants.
2. In case of HUF, photograph of Karta is required.
3. To be affixed and signed across by the respective individuals i.e. part of signature to be on the form. It is advisable to sign in a permanent marker pen.

Bank Details :

1. Of the 1st applicant should be provided.
2. Copy of cancelled cheque leaf is to be provided.
3. Complete Bank address to be provided.

Nomination :

1. It is optional, but advisable.
2. Nomination can be made only by an individual holding a Beneficiary owner Account on their behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of Power of Attorney cannot be nominated.
3. A Minor can be nominated. In that event, the name and address of the Guardian of the Minor Nominee shall be provided by the Beneficial Owner.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be a valid discharge by the depository against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf, singly or jointly by the same persons who made the original nomination. Non Individuals including society, trust, body corporate, partnership firm, Karta of HUF, holder of Power of Attorney cannot cancel the nomination. If the beneficiary 'account is held jointly, all the joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

Power of Attorney :

1. POA holder also subject to KYC compliance, hence ID and Address proof of POA holder also needs to be submitted.
2. Notarised copy of POA with the signature of Donor and Donee should be submitted.

Please refer for details of documents to be submitted for ID and Address Proof on page 2.

Proof of Identity and proof of correspondence is compulsory for all holders in the Demat Account
Introduction Documents furnished (✓) for proof of Identity and Correspondence Address.

Proof of Identity (Anyone)	Proof of Correspondence Address (Anyone)
Pan Card (Mandatory)	Ration Card
Passport	Voter ID Card
Voter ID Card	Driving License
Aadhaar Card	Aadhaar Card
Driving License	Bank Passbook
Photo Credit Cards / Photo Debit Cards issued by Banks.	Verified documents of
Identity Card/Document with Applicant's Photo issued by	Electricity Bill (not more than 2 months old from the bill date)
a) Central/State Government and its Departments	Land Line telephone bill (not more than 1 month old from the date)
b) Statutory/Regulatory Authorities	Leave and License Agreement / Agreement for Sale
c) Public Sector Undertakings	Identity card/document with applicant's photo & address issued by
d) Scheduled Commercial Banks	a) Central/State Government and its Departments
e) Public Financial Institutions	b) Statutory/Regulatory Authorities
f) Colleges affiliated to Universities (this can be treated as valid only till the time the applicant(s) is/are student/students)	c) Public Sector Undertakings
g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members	d) Scheduled Commercial Banks
	e) Public Financial Institutions
	f) Colleges affiliated to Universities (this can be treated as valid only till the time the applicant is a student)
	g) Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.
	Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts.

Checklist for Individual/Minor / HUF / NRI / Applicant(s) :

	For the Applicant's		For DP use	
	Yes	No	Yes	No
General				
Application form filled in CAPITAL Letters				
Self attested copy of PAN submitted by ALL applicants.				
Incase the photo on PAN copy is not clear, another self attested ID proof as per details above				
Self attested copy of Address Proof of All the applicants as per details given above				
KYC form				
Duly filled, signed and submitted by All applicants				
Application Form				
Photo on the form matches with ID Proof.				
Blank columns duly cancelled				
Corrections if any, are duly authenticated by ALL the applicants				
Name on the form is exactly as on PAN Card				
Signature on the form is exactly as on PAN copy				
Address on the form is exactly as on the proof.				
Address provided is complete with PIN code.				
Photograph affixed and signed across, i.e. part of the signature is on the form				
Bank account details of sole / 1st applicant				
Copy of cancelled cheque leaf is provided				
Bank Account number mentioned is same as of the cheque leaf copy provided.				
Type of account mentioned				
Complete Address of the Bank, i.e. Name and Address in full with Pin Code is provided.				
MICR number duly filled-in				
Nomination form (Applicable only for Individual & NRI accounts)				
Incase of Minor Nominee, self attested photocopy of date of birth certificate should be provided				
Incase of Minor Nominee, Guardian's PAN provided				
Witness signature of 2 persons, with their full name and complete address				
Debit Authorisation				
Authorised Bank Savings / Current account number of the person's account will be debited for recovery of demat account charges				
Signature of Savings / Current account holders				
Signature, Full Name and Complete Address of the Witness				
Schedule of Charges				
Signed by ALL the applicants.				
Power of Attorney, if applicable				
Notarised copy with signature of both Donor and Donee.				
Photograph of POA holder				
Consent letter signed by the Donor and Donee.				
HUF Account				
Coparceners declaration as per format provided (with Name, Age, Gender and Relationships)				
NRI Account				
RBI Approval is attached.				
Address Proof for foreign address				
Others (please specify)				



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Application Form for Opening a Demat Account

☐ Individual

☐ NRI

☐ Foreign National

(To be filled by the Depository Participant)

Application No.										Date		D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	3	0	6	1	3	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 the following details :-

Sole/First Holder's Details

First Name																		
Middle Name																		
Last Name																		
Father/Husband Name																		
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Other															Suffix		
Correspondence Address																		
City/Town/Village											State							
Country											PIN Code							
Telephone No. [(R)/(O)]											Fax No.							
											Mobile No.							
PAN																		
UID																		
E-mail ID																		
Permanent Address (If different from Correspondence Address)																		
											State							
City/Town/Village											PIN Code							
Country											Fax No.							
Telephone No. [(R)/(O)]											Mobile No.							
E-mail ID																		

Joint Holder's - Second Holder's Details

First Name											
Middle Name											
Last Name											
Father/Husband Name											
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Other					Suffix					
Correspondence Address											
City/Town/Village						State					
Country						PIN Code					
Telephone No. [(R)/(O)]						Fax No.					
PAN						Mobile No.					
UID											
E-mail ID											

Joint Holder's - Third Holder's Details

First Name											
Middle Name											
Last Name											
Father/Husband Name											
Title	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Miss. <input type="checkbox"/> Other					Suffix					
Correspondence Address											
City/Town/Village						State					
Country						PIN Code					
Telephone No. [(R)/(O)]						Fax No.					
PAN						Mobile No.					
UID											
E-mail ID											

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non - Repatriable Promoter <input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National-Depository Receipts <input type="checkbox"/> Other (Specify) _____	
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="checkbox"/> Yes <input type="checkbox"/> 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="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at E-mail ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)		
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]		<input type="checkbox"/> Yes <input type="checkbox"/> No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR Code)									
IFS Code (11 Characters)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Other (Specify)								
Bank Name									
Branch									
Bank Address									
City		State		Country		PIN Code			

- (i) Copy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 3 months old, (or)
 (iii) Photocopy of the Passbook having name and address of the BO, (or)
 (iv) Letter from the Bank.
- In case of option (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Specimen Signatures			
	(Please affix here coloured photograph and sign across it preferably with marker pen)	(Please affix here coloured photograph and sign across it preferably with marker pen)	(Please affix here coloured photograph and sign across it preferably with marker pen)

(Signature should be preferably in black ink)

(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph).

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.

Additional Details

SMS Alert Facility (Refer to terms & conditions given as Annexure 2.4)	MOBILE NUMBER : +91 _____ <small>(Mandatory, if you are giving Power of Attorney (POA)) (If POA is not granted and you do not wish to avail of this facility, cancel this option)</small>		
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 Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I / We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
Easi	To register for easi, please our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transaction and value of the portfolio online.		

Details for First Holder

Date of Birth	D' D M M Y Y Y Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify)
Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details	Income Range per annum :
Gross Annual Income	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Details	Net worth as on (Date) D D M M Y Y Y Y Rs. (Net worth should not be older than 1 year)

Details for Joint Second Holder

Date of Birth	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify)
Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details	Income Range per annum :
Gross Annual Income	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Details	Net worth as on (Date) D D M M Y Y Y Y Rs. (Net worth should not be older than 1 year)

Details for Joint Third Holder

Date of Birth	D D M M Y Y Y Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Other (Specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Private/Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Agriculturist <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify)
Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
Any other information :	
Nature of business : (Product/services provided)	
Other Details	Income Range per annum :
Gross Annual Income	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> More than Rs. 25,00,000
Details	Net worth as on (Date) D D M M Y Y Y Y Rs. (Net worth should not be older than 1 year)

Details of Guardian (If First Holder or Second Holder or Third Holder is a minor)

Name			
Relationship with the applicant			
Correspondence Address			
City/Town/Village	State		
Country	PIN Code		
Telephone [(R)/(O)]	Mobile No.		
PAN			
E-mail ID			

For NRIs

Foreign Address			
City	State		
Country	PIN/ZIP		

(FORMERLY UPSE SECURITIES LIMITED)**CIN : U67120UP2000PLC025330****"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001****DPID : 13061300 SEBI Reg. No. IN-DP-CDSL-691-2013****Telephone No. : (0512) 2338220 • Fax No. : (0512) 2338220****Email : upsesecld@gmail.com****Rights and Obligations of Beneficial Owner and Depository Participant (DP) as prescribed by SEBI and Depositories****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 depository 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 inform 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 of 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.

Statement of account

13. 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.
14. 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.
15. 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.
16. 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

17. 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.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. 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.
20. 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

21. As per Section 16 of Depositories Act, 1996.
 - (i) 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.
 - (ii) 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

22. 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.
23. 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.

Redressal of Investor grievance

24. 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

25. 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

26. 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.
27. 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 Bye-laws of the relevant Depository, where the Beneficial Owner maintains his / her account, that may be in force from time to time.
28. 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.
29. 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.
30. 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.
31. 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.

**This document is also available at our
website www.upsecindia.com**

**I wish to receive Rights and Obligations
document as mentioned at page no. 5
to 6 in physical/electronic mode**

Acknowledgement

Received a copy of aforesaid document from
Unlock Wealth Securities Limited

Signature : _____

Name : _____

Date : _____

(Acknowledgement of the Client)

UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN: U67120UP2000PLC025330

"Padam Towers", 14/113, CIVIL LINES, KANPUR-208001

DP ID 13061300 SEBI Reg.No.IN-DP-CDSL-512-2009

Phone No: (0512) 2338220 & Fax No: (0512) 2338220

Rate Structure of Unlock Wealth SECURITIES LTD.

S. No.	Particulars	Rate
1. (a)	Account opening Charges (Individual)	NIL
(b)	Account opening Charges (Corporate)	NIL
(c)	Stamp Fee (At actual, as applicable from time to time) For account opening For Power of Attorney	Presently Rs. 100.00 Rs.100.00
2.	Annual Maintenance Charges : (a) Individual: (b) Corporate: The Annual Maintenance Charges will be applicable from the 1 st date of the month in which the account is opened. It will be payable upfront. [Annual Maintenance Charges for non-corporate BO account will be Rs. NIL, if Interest Free Security Deposit of Rs. 4,000.00 (Refundable) is received.]	Rs. 400.00 Rs. 1000.00
3.	Dematerialization Postage Charges will be levied Rs. 60.00 upto first 05 certificates and additional Rs. 20.00 for every 05 certificates or in fraction thereof.	Rs. 30.00 per Certificate + Rs. 60.00 for Postage / Courier
4.	Demat Rejection	Rs. 25.00 for postage
5.	Rematerialization	Rs. 15.00 per certificate for every 100 securities or part thereof; Subject to maximum fee of Rs 6,00,000/- or a Flat fee of Rs 15/- per certificate, whichever is higher payable on confirmation of the request. + Rs 30.00 for postage /courier charges.
6.	Transaction Charges (Debit) For Power of Attorney For General Cases	Rs. 20.00 Rs. 40.00
7.	Pledge Creation / Confirmations / Closure	Rs. 20.00
8.	Pledge Invocation	Rs. 25.00
9.	Late Fee per Transaction Slip (As decided by the Company from time to time)	Rs. 10.00
10.	KRA Charges	Rs. 35.00
11.	Minimum billing of transactions (except Annual Maintenance Charges) in financial year in a demat account	Rs. 2,000/- where total value of holding touched Rs. 1(one) crore or above on any day in the financial year. BO accounts where Interest Free Security Deposit of Rs. 4,000.00 (Refundable) is received, Rs. 1,600/-.

1. Charges for other services not covered above, be notified from time to time separately.

2. Service Tax / GST will be charged extra as applicable from time to time.

3. Unlock Wealth Sec. Ltd. reserves right to revise the above rate structure from time to time giving 30 days notice.

4. If the date of submission and date of execution are same, such instructions will be executed on a "best effort basis" at client risk.

1st Holder Sign

2nd Holder Sign

3rd Holder Sign

UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001

DPID : 13061300 SEBI Reg. No. IN-DP-CDSL-691-2013

MEMBER : BSE, MSEI, NSE • SEBI Regn. No. : INZ000159835 • IDs BSE-298, NSE-11168, MSE-15000
Telephone No. : (0512) 3322323 • Fax : (0512) 3322324

Telephone No. : (0512) 2338220 • Fax No. : (0512) 2338220 • Email : upsesecld@gmail.com

Nomination Form

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

TM / DP Unlock Wealth Securities Limited "Padam Towers", 14/113, Civil Lines, Kanpur - 208 001		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																				
Date								UCC/ DP ID								Client ID						
<i>I/We wish to make a nomination. [As per details given below]</i>																						
Nomination Details																						
<i>I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.</i>																						
Nomination can be made upto three nominees in the account.				Details of 1 st Nominee				Details of 2 nd Nominee				Details of 3 rd Nominee										
1.	Name of the nominee(s) (Mr./Ms.)																					
2.	Share of each Nominee	Equally		%				%				%										
		[If not equally, please specify percentage]		Any odd lot after division shall be transferred to the first nominee mentioned in the form.																		
3.	Relationship With the Applicant (If Any)																					
4.	Address of Nominee(s)																					
	City / Place : State & Country :																					
		PIN Code																				
5.	Mobile / Telephone No. of nominee(s)																					
6.	Email ID of nominee(s)																					
7.	Nominee Identification details [Please tick any one of following and provide details of same]																					
	<input type="checkbox"/> Photograph & Signature <input checked="" type="checkbox"/> PAN <input checked="" type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																					

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:					
8.	Date of Birth {in case of minor nominee(s)}				
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}				
10.	Address of Guardian(s)				
	City / Place: State & Country:				
		PIN Code			
11.	Mobile / Telephone no. of Guardian				
12.	Email ID of Guardian				
13.	Relationship of Guardian with nominee				
14.	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				
Name(s) of holder(s)					Signature(s) of holder*
Sole / First Holder (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 impression, instead of signature

Note:

1. This nomination shall supersede any prior nomination made by the account holder(s), if any.
2. The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

UNLOCK WEALTH SECURITIES LIMITED

Annexure 2.4

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001

DPID : 13061300 SEBI Reg. No. IN-DP-CDSL-691-2013

Telephone No. : (0512) 2338220 • Fax No. : (0512) 2338220

Email : upsesecld@gmail.com



Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

[SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well]

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise :

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration/modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get/get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further 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 BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to / transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

Signatures



Sole / First Holder



Second Holder



Third Holder

9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should be immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its official from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time 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 BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

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 received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further 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.

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 provide the following information for the purpose of **REGISTRATION/MODIFICATION** (Please cancel out which is not applicable).

BOID

1	3	0	6	1	3	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name

Second Holder's Name

Third Holder's Name

Mobile Number on which messages are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of :

Email ID :

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

Signatures



Sole / First Holder



Second Holder



Third Holder

Place : _____

Date : _____

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

Please fill in ENGLISH and in BLOCK LETTERS



Application No. :

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's / Spouse Name

2. Gender ☐ Male ☐ Female B. Marital status ☐ Single ☐ Married C. Date of Birth d d / m m / y y y y

3. Nationality ☐ Indian ☐ Other

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any :

6. Proof of Identity submitted for PAN exempt case Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others (Please see guideline 'D' overleaf)

B. Address Details (please see guidelines overleaf)

1. Address for Residence / Correspondence

City / Town / Village										PIN Code									
State										Country									

2. Contact Details

Tel. (Off.) (ISD) (STD)										Tel. (Res.) (ISD) (STD)									
Mobile (ISD) (STD)										Fax (ISD) (STD)									
E-mail Id																			

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease / Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement / Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity / Expiry date of proof of address submitted d d / m m / y y y y

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village										PIN Code									
State										Country									

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease / Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement / Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. Validity / Expiry date of proof of address submitted d d / m m / y y y y

6. Any other information :

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place :

Date :

SIGNATURE OF APPLICANT

FOR OFFICE USE ONLY

AMC / Intermediary name OR code

- ☐ (Originals Verified) Self Certified Document copies received
☐ (Attested) True copies of documents received
☐ Main Intermediary

Seal/Stamp of the Intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

IPV Done ☐ on d d / m m / y y y y

Seal/Stamp of the Intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients.
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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card / OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
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.

B. Proof of Identity (POI) : List of documents admissible as Proof of Identity :

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

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

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat maintenance

bill / Insurance Copy.

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

D. Exemptions / clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central government and / or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under Section 49 of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people 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).
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.



UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

"PADAM TOWERS", 14/113, CIVIL LINES, KANPUR - 208 001

DPID : 13061300 SEBI Reg. No. IN-DP-CDSL-691-2013

Telephone No. : (0512) 2338220 • Fax No. : (0512) 2338220

Email : upsesecltd@gmail.com

(To be filled by Depository Participant)

S. No. A/

ACKNOWLEDGEMENT RECEIPT

Application No. :

Date :

We hereby acknowledge the receipt of the Account Opening Application Form :

Name of the Sole / First Holder	
Name of Second Joint Holder	
Name of Third Joint Holder	

Depository Participant Seal and Signature

Instructions to the Applicants (BOs) for account opening

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address and Telephone Number(s) etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the First/Sole Applicant.
7. Strike off whichever option, in the account opening form, is not applicable.