

Serial No.

CLIENT REGISTRATION FORM

Note : This form is divided in two Booklets (i.e. Booklet-I and Booklet-II)

BOOKLET - I



UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

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

Telephone No. : 0512-2338134 • **Telefax No. :** 0512-2338220

Website : www.upsecindia.com

Email : upsesectd@gmail.com, upse@vsnl.in

Email ID for Investor Complaints : upseseccomplaints@gmail.com

Member :

BSE LIMITED (BSE)

NATIONAL STOCK EXCHANGE OF INDIA LIMITED (NSE)

METROPOLITAN STOCK EXCHANGE OF INDIA LIMITED (MSE)

AUTHORISED PERSON NAME _____

CLIENT NAME _____

CLIENT CODE _____

SEBI Registration Numbers

BSE CASH	<input type="checkbox"/>	INZ 000159835
BSE F&O	<input type="checkbox"/>	
BSE C D	<input type="checkbox"/>	N.A
NSE CASH	<input type="checkbox"/>	
NSE F&O	<input type="checkbox"/>	
MSE CASH	<input type="checkbox"/>	INZ 000159835
MSE F&O	<input type="checkbox"/>	
MSE C D	<input type="checkbox"/>	

**ACCOUNT OPENING KIT
INDEX OF DOCUMENTS**

Unlock Wealth Securities Ltd.

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CLIENT REGISTRATION DOCUMENT



Client Registration form received on

Client Registration form received & checked by

Client Registration form entered in Webex and / or UCI/ and/or Exchange by

Client Registration form entered in Back Office by

UNLOCK WEALTH SECURITIES LIMITED

(FORMERLY UPSE SECURITIES LIMITED)

CIN : U67120UP2000PLC025330

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

Telephone No. : 0512-2338134 • Telefax No. : 0512-2338220

Website : www.upsecindia.com

Email : upsesecLtd@gmail.com, upse@vsnl.in

Email ID for Investor Complaints : upseseccomplaints@gmail.com

Authorised Person Name : _____

Authorised Person :

Exchange Registration No.(s):

BSE

NSE

MSE

Client Name : _____

Client Code :

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CONTACT DETAILS**Unlock Wealth Securities Ltd.**

Name of Stock Broker/Trading Member/Clearing Member : Unlock Wealth Securities Limited

Exchange-Segment	SEBI Registration No.	Date of Registration
BSE CASH <input type="checkbox"/>	14.12.2017	INZ 000159835
BSE F&O <input type="checkbox"/>		
BSE C D* <input type="checkbox"/>	N.A.	N.A.
NSE CASH <input type="checkbox"/>	14.12.2017	INZ 000159835
NSE F&O <input type="checkbox"/>		
MSE CASH <input type="checkbox"/>		
MSE F&O <input type="checkbox"/>		
MSE C D <input type="checkbox"/>		

*BSE approval letter no. MO/CS/AK/ANK/2013/4622 Dt. 25.11.2013

Registered and Correspondence Office Address : Padam Towers, 14/113, Civil Lines, Kanpur-208 001 (U.P.)
 Phone Number : 0512-2338134
 Fax Number : 0512-2338220
 Website : www.upsecindia.com

Details of Senior Officials

S.No.	Name	Designation	Phone No.	E-mail ID
1.	Abhijit Tulsyan Jagesh Kumar Dixit	CEO & Compliance Officer	0512-2338134	upsesecltd@gmail.com
2.	Sandeep Seth	Designated Director	0512-2338134	upsesecltd@gmail.com

For any grievance/dispute please contact Unlock Wealth Securities Limited at the above address or email ID – upseseccomplaints@gmail.com and Phone No. 0512-2338134.

In case not satisfied with the response, please contact the concerned Exchange (s) at:

Exchange	E-mail-ID	Phone No.
BSE	iscdelhi@bseindia.com	011-43007413
BSE	is@bseindia.com	022-22728097
NSE	nseiscdel@nse.co.in	011-23459148
NSE	ignse@nse.co.in	1800 22 00 58
MSE	investorcomplaints@mcx-sx.com	022-67319000



Important Instructions

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

(To be filled by financial institution)

Application Type* New Update

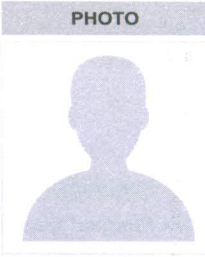
KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife
	<input type="checkbox"/> B-Business	<input type="checkbox"/> Student		
	<input type="checkbox"/> X- Not Categorised			

PHOTO



Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI) (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity Card NREGA Job Card Others

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

5. CONTACT DETAILS (All communication will be sent on provided Mobile no. / Email ID) (please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Prefix First Name Middle Name Last Name

Name*

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTER | Instructions / Check list/ Guidelines for filling Individual KYC Application Form

General Instructions:

1. Fields marked with "*" are mandatory fields.
2. Tick "3" wherever applicable,
3. Self-Certification of documents is mandatory
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7. KYC number of applicant is mandatory for updation of KYC details.
8. For particular section update, please tick (3) in the box available before the section number and strike off the sections not required to be updated.
9. In case of 'Small Account type' only personal details at section number 1& 2, photograph, signature and self certification required.

A. Clarification / guidelines on filling 'Personal Details' section

1. **Name** : Please state the name with Prefix(Mr/Mrs/Ms/etc.) The name should match the name as mentioned in the proof of Identity submitted failing which the application is liable to be rejected.
2. Either **father's name or spouse's name** is to be mandatory furnished. In case PAN is not available father's name is mandatory.

B. Clarification / guidelines on filling details if applicant residence for tax purpose in jurisdiction(s) outside India

1. **Tax identification Number (TIN)**: TIN need not be reported if it has not been issued by the jurisdiction, However, If the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification / guidelines on filling 'Proof of Identity [PoI]' section

1. If driving licence number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification/reference number if 'Z-Others (any document notified by the central government)' is ticked.
3. In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / guidelines on filling 'Proof of Address[PoA]- Current/Permanent/Overseas Address details' section

1. PoA to be submitted only if the submitted pol does not have an address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for Verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4. 1.

Document Code	Description
01	Utility bill which is not more than two months old any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Public Sector Undertakings, If they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and companies, Similarly, leave and licence agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E. Clarification / guidelines on filling 'Proof of Address [PoA]- Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F. Clarification / guidelines on filling on filling 'Contact details' section

1. please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999)
2. Do not add '0' in the beginning of Mobile number.

G. Clarification / guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

H. Clarification / guidelines on filling 'Related Person details- Proof of Identity [PoI] of Related Person' section

1. Mention identification / reference number if 'Z-Others (any document notified by the central government)' is ticked.

List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 Two-Digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	AG	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know your Customer (KYC) Application Form | Individual | Related Person



Important Instructions

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

2. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my 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 aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : Place :

 Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <input type="text"/>	Name <input type="text"/>
Emp. Name <input type="text"/>	Code <input type="text"/>
Emp. Code <input type="text"/>	
Emp. Designation <input type="text"/>	
Emp. Branch <input type="text"/>	
	[Institution Stamp]

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., Head 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. of 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/ filling tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of Institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the document:

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 where the client resides are permitted to attest the documents.

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/PIOCard/OCICard 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 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/Gazatted 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 apostiled 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. 50,0000/- p.a.
5. In case of Institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956. Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank of 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.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year) • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market • Authorized signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of Individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorized to act as authorized signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Details of Promoters / Partners / Karta / Trustees and Whole time Directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant

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Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies)

Date

D	D
---	---

 /

M	M
---	---

 /

Y	Y	Y	Y
---	---	---	---

PEP : Politically Exposed Person
RPEP : Related to Politically Exposed Person

DECLARATION BY HUF AND CONSENT LETTER

To,
Unlock Wealth Securities Limited

With regard to Trading Account maintained in the name & Style _____ with Unlock Wealth Securities Ltd., we the following family members, being the co-parceners in the aforesaid HUF account do hereby give our consent that the Karta, viz _____ would operate above mentioned Trading account.

Details of our HUF and all its co-parceners are stated below :

Sr. No.	Name of Family Member	Date of Birth (DD/MM/YYYY)	Gender	Relationship with Karta	Signature

I hereby state that details mentioned above are true and any change in them would be intimated to you in writing

Name of HUF _____

Signature of Karta

Name of Karta _____

(HUF Rubber Stamp)

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-Individuals

A. BANK ACCOUNT(S) DETAILS	Bank Name	Bank A/c No.	
	Branch Address		
	Account Type	Saving A/c <input type="checkbox"/>	Current A/c <input type="checkbox"/>
		Others - In case of NRI-NRE/NRO <input type="checkbox"/>	
	MICR Number	IFSC Code	
B. DEPOSITORY ACCOUNT(S) DETAILS	Depository Participant Name		
	Depository Name (NSDL/CDSL)		
	Beneficiary Name		
	DP ID		
	Beneficiary ID (BO ID)		

C. Other Details for Individuals

1. **Gross Annual Income Details** (Please tick (✓) : Below 1 Lac 1-5 Lacs 5-10 Lacs 10-25 Lacs > 25 Lacs
 or
 Net-worth in ₹ (*Net worth should not be older than 1 year) _____ as on (date) / /

2. **Occupation** (Please tick (✓) any one and give brief details) :
 Private Sector Service Public Sector Government Service Business Professional Agriculturist Retired
 Housewife Student Forex Dealer Others (Please specify)

3. **Please tick, if applicable** : Politically Exposed Person Related to a Politically Exposed Person
 For definition of PEP, please refer guideline (See Important Point No. 11 on page 4)

4. **Any Other information** : _____

C. Other Details for on-Individuals

1. **Gross Annual Income Details** (Please tick (✓) : Below 1 Lac 1-5 Lacs 5-10 Lacs 10-25 Lacs 25 Lacs - 1 Crore < 1 Crore

2. **Net-worth in ₹** (*Net worth should not be older than 1 year) _____ as on (date) / /

3. **Is the entity involved/providing any of the following service** YES NO
 - For Foreign Exchange / Money Changer Services YES NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) YES NO
 - Money Lending / Pawning YES NO

4. **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.

NSE, BSE & MSEI			
Exchanges			
All Segments	Cash	F & O	Currency

If you do not wish to trade in any of segments, please mention here

E. PASTACTIONS

Details of any action/proceedings imitated /pending / taken by SEBI / Stock Exchange (s) / 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:

F. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person, provide the following details :			
Authorised Person's Name :			
SEBI Registration number (s) :	BSE : INS	NSE : INS	MSE : INS
Registered Office Address :			
Ph :	Fax :		
Website/E-mail ID :			

• Whether dealing with any other stock brokers/Authorised Person (In case dealing with multiple stock brokers/ Authorised Persons, provide details of all)			
Name of Stock Broker :			
Name of Authorised Person if any :			
Client Code :		Exchange :	
Details of disputes/dues pending from / to such stock broker/Authorised Person :			

G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): Specify your Email id, if applicable:
- In case of any change in the e-mail Id, I/We shall communicate the same to you through a physical letter.
- Whether you wish to avail of the facility of internet trading/wireless technology (please specify):
- Number of years of Investment/Trading Experience:
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: Information is given on KYC Application Form.
- I wish to receive standard documents mentioned at Serial No. a) to f) at page no. 19 & 20 in physical/electronic mode.
- Any other information:

H. INTRODUCER DETAILS				
Name & Code of the Introducer	Surname	Name	Middle Name	Code
Status of the Introducer	Authorised Person <input type="checkbox"/>	Existing Client <input type="checkbox"/>		
Address of the Introducer				
Ph. No. of the Introducer	<input type="text"/>		Signature of the Introducer	<input type="text"/>



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) 2338220 • Fax No. : (0512) 2338220 • Email : upsesecltd@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		
(To be filled in by individual applying singly or jointly)					
Date				UCC/ DP ID	Client ID
I/We wish to make a nomination. [As per details given below]					
Nomination Details					
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.					
Nomination can be made upto three nominees in the account.		Details of 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 <small>[If not equally, please specify percentage]</small>	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.					
3.	Relationship With the Applicant (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 <small>[Please tick any two of following and provide details of same]</small>				
	<input type="checkbox"/>	Photograph & Signature	<input 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)

I. NOMINATION DETAILS (For Individual only)

I wish to nominate <input type="checkbox"/>		I do not wish to nominate <input type="checkbox"/>											
Name of the Nominee	Relationship with the Nominee												
PAN of Nominee													
Date of Birth of Nominee	<table border="1"> <tr> <td>D</td><td>D</td><td>/</td><td>M</td><td>M</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>			D	D	/	M	M	/	Y	Y	Y	Y
D	D	/	M	M	/	Y	Y	Y	Y				
Address and Phone No. of Nominee													

If Nominee is a minor, details of guardian :

Name of Guardian :
Address and phone No. of Guardian :
Signature of Guardian :

WITNESSES (only applicable in case the account holder has made nomination)

Name	Name
Signature	Signature
Address	Address

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 of Unlock Wealth Securities Limited website.

Place

(.....)

Date

Signature of Client (all) Authorized Signatory (ies)

UNDERTAKING

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

**Signature of the
Authorized Signatory of
Unlock Wealth Securities Limited**

Date

**Seal/Stamp of
Unlock Wealth Securities Limited**

INSTRUCTIONS/CHECK LIST

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

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

- *In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*
2. Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR Code/or/and IFSC Code of the bank should be submitted.
 3. Demat master or recent holding statement issued by DP bearing name of the client.
 4. **For individuals:**
 - a. 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.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in person' verification. Further, considering the infeasibility of carrying out 'in person' verification of the non-resident clients by the stock broker's staff, attestation of KYC document by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/Consulate General in the country where the client resides may be permitted.
 5. **For non-individuals:**
 - a. For need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

Authorised Parson Details (Unlock Wealth Securities Ltd. - BSE/NSE/MSE Authorised Person)
(Through Whom Client Want to Trade)

Name of Authorised Person : (Through Whom Client Want to Trade)		
Address :		
City :	Pin Code :	State :
Country :	Tel. No. :	Mobile :
Fax :	Email ID :	
PAN :		

Client Name :	Client Signature	X
Place : Date :		
(If Partner, Corporate or Other Signatory, then sign. with seal)		

Declaration by the Authorized Person (Unlock Wealth Securities Ltd. – BSE/NSE/MSE Authorised Person)

To,
 Unlock Wealth Securities Limited, (Member BSE, NSE and MSE)
 I/We hereby declare that Mr./Mrs./Ms. is known to me/us and he/she/they can be registered as a Client of Unlock Wealth Securities Ltd. I/we undertake to clear the trades of the above client.
 I/We hereby authorize you to adjust the shortfall, if any, of margin/settlement dues of the above client by debit to my/our Bank Account or to capital adequacy deposit.
 I/We further authorize you to credit the shortfall amount so debited to my/our bank account or to my/our capital adequacy account to the client account for meeting the shortfall reducing thereby balance in the bank account or in the capital adequacy account.

Authorised Person Name :	Authorised Person Signature	X
Place : Date :		
(If Partner, Corporate or Other Signatory, then sign. with seal)		

DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS FOR TRADING IN DERIVATIVES SEGMENTS

In respect of trading in derivatives segments, I/we here with submit self attested two documentary evidence (ticked) for financial information, out of following:

1. Copy of income tax return acknowledgment.
2. Copy of annual accounts.
3. Copy of Form 16 in case of salary income.
4. Net worth certificate.
5. Salary Slip.
6. Bank Account Statement for last 6 months.
7. Copy of Demat Account Holding Statement.

Client Signature

Authorised Person Signature

Policies and Procedures

1. Penny Stocks

Unlock Wealth Securities Limited shall be at liberty to refuse trades in Penny stocks i.e. illiquid securities identified by the Exchanges.

2. Client's Exposure Limits

The Client shall abide by the exposure limits, if any, set by the Sub-broker or Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

3. Brokerage Rate

The Client shall pay to Unlock Wealth Securities Limited brokerage and statutory levies as applicable from time to time and as they apply to client's account, transactions and to the services that Unlock Wealth Securities Limited and/or Authorised Person render to the client. Unlock Wealth Securities Limited/Authorised Person shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Bye-Laws and Regulations of the Exchanges/ SEBI.

4. Imposition of Penalty

All Parties i.e. Unlock Wealth Securities Limited, Authorised Person and Client shall abide by the penalty norms, if any, for delayed payments and other violations, set by the Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time, as per below mention in Tariff sheet.

5. Right to Sell Client's Securities (including Return of Excess Securities, Liquidation of Securities in case of Non-fulfillment of fund obligation and Payment Terms)

Without prejudice to the other rights, Unlock Wealth Securities Limited shall be entitled to liquidate (sell Client's securities)/close out all or any of the Client's

positions for non payments of margins, pay-ins, outstanding debts or other amounts, limited to the extent of settlement/margins obligations, and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations, without giving notice to the client. All losses and financial charges on account of such liquidation/close out shall be charged to and borne by the client. However, no excess securities will be retained and returned to client's respective demat account.

6. Shortages in internal Nettings

Client shall be liable to make good all the shortages in obligations arising out of internal netting of trades.

7. Client's Position

Under the conditions, if any, specified by Unlock Wealth Securities Limited or by the Exchanges from time to time, the Client shall not be allowed to take further position or Unlock Wealth Securities Limited may close the existing position of the client.

8. Client's Request

On receipt of written request of the client, his account shall be closed or temporarily suspended.

9. Deregistration of Client

The Client shall be put in the inactive list or finally deregistered, under the policy specified Unlock Wealth Securities Limited or by the Exchanges or Clearing Corporation or SEBI from time to time.

10. Prevention of Money Laundering Act, 2002

The Client and Authorised Person shall abide by and adhere to policy framed by Unlock Wealth Securities Ltd. from time to time on prevention of Money Laundering.

TARIFF

BOKERAGE DETAILS :	BSE, NSE & MSE Cash	BSE, NSE & MSE Futures	BSE, NSE & MSE Option	BSE & MSE C D
JOBING				
MINIMUM				
DELIVERY				
MINIMUM				

GST, Securities Transaction Tax, Stamp Duty, SEBI Fees, Transaction Charges & Clearing Charges and other levies, if any, will also be charged as applicable from time to time.

Other charges minimum Rs. 10/- / per contract note adjustable against total brokerage.

DP Charges, if any, will also be charged. Delay Payment Charges (DPC) will be charged @ 18% p.a..

Client

Authorised Person

CEO-Unlock Wealth Securities Ltd.

Date :

MANDATORY
Declaration by the Proprietorship Firm

Unlock Wealth Securities Ltd.

Date:

ANNEXURE – 1

Unlock Wealth Securities Limited
 Padam Towers, 14/113, Civil Lines, Kanpur – 208001

Dear Sir/Madam,

Ref. : Client Code

I refer to the trading account opened with you in the name of and declare and authorize you as under;

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship concern as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. having DP ID and DP name Opened in the name of the undersigned who is the sole proprietor of the concern.

I agree that the obligation for shares purchased and/or sold by the proprietorship concern will be handled and complete through transfer (s) to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the concern.

Further, I, the undersigned, am the sole proprietor of the concern and am solely responsible for the liabilities there of. I shall advise you in writing of any change that takes place in the constitution of the proprietorship concern and I will be personally liable to you for all the obligations that the concern may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs (electronic/physical) may be issued by me from my individual account or my joint account with someone else. The said amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship concern M/s with Unlock Wealth Securities Limited. I shall/not lay any claim whatsoever in future against Unlock Wealth Securities Limited for affording credit of such cheques/DDs issued from any individual/Joint account, credit of which has been provided by Unlock Wealth Securities Limited to the account of my proprietorship concern M/s.

Thanking you,

Yours faithfully,

Signature of the Proprietor along with the Stamp of the Proprietorship Concern

Name of the Proprietor:

MANDATORY
Authority Letter by the Partnership Firm

Date:

ANNEXURE – 2

Unlock Wealth Securities Limited
 Padam Towers, 14/113, Civil Lines, Kanpur – 208001

Dear Sir/Madam,

Ref. : Client Code

We the undersigned, Partners of M/s carrying on business of securities and/or other investment product (s) or the services through you.

We the partners, Jointly authorize our partner, Mr./Ms. to issue instructions to you as our stock broker for securities, trades, funds, investments etc. and undertake that all the acts of the said partner in this connection purporting to be done on behalf of the firm shall be binding on the firm and each one of us and our respective estates until liabilities, if any, accrued in respect of such acts have been discharged.

Thanking you,

Full Name of the Partners	Individual Signatures	Signature on behalf of the Firm
1.		
2.		
3.		
4.		

Signature of Authorised Partner
 Stamp/Seal of the Partnership Firm

MANDATORY
 (Details on this page are meant for Corporate Client)
Board resolution in case of the Corporate Client

ANNEXURE-3

Date: _____

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S. _____ HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____ 20____ AT _____

RESOLVED THAT _____ (name of the Company) agree with Unlock Wealth Securities Limited, Member of BSE, NSE & MSE for dealing in the capital market (cash, F & O and Currency Derivatives Market and that Unlock Wealth Securities Limited, be and is hereby authorized to honour instructions, oral/written or electronic, as the case may be, given on behalf of the company by any one or more of the under stated authorized signatories.

Sr. No.	Name	Designation
1.		
2.		
3.		

Who is/are authorized to sell, purchase, transfer, endorse, negotiate, deal in equities, debentures, debt, IOPs, MFs, government Securities and/or any other investment products of services and/or otherwise deal through Unlock Wealth Securities Limited on behalf of the company.

RESOLVED FURTHER THAT Mr./Ms _____ Director and/or Mr./Ms _____ Authorized signatory of the company be and are hereby authorized to sign, execute and submit such applications, undertaking, agreements and other requisite documents, writing and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOLVED FURTHER THAT the common seal of the Company be affixed, wherever necessary, in the presence of any of the directors, who shall sign the same in token of the presence.

For _____ (name of the Company)

 Specimen Signature of the director authorized under this Resolution

 Specimen Signature of the Authorized Signatory authorized under this Resolution

(ATTESTED TO BE TRUE COPY OF THE BOARD RESOLUTION)

MANDATORY
Shareholding pattern in case of Corporate

ANNEXURE - 4

Date: _____

Unlock Wealth Securities Limited
 Padam Towers, 14/113, Civil Lines,
 Kanpur - 208001

Dear Sir/Madam,

Ref. : Client Code _____

We hereby certify that the understated director/individual etc. hold 5% or more of the shareholding in our company :

	Name of the Person	No. of shares	% of shareholding	Relationship/Designation
1.				
2.				
3.				
4.				
5.				

Thanking you,
 Yours faithfully,
Signature of Chairman/Director
Stamp/Seal of the Company

Date:

ANNEXURE-5

Unlock Wealth Securities Limited
Padam Towers, 14/113, Civil Lines, Kanpur-208001

Dear Sir/Madam,

Sub Authorization for Deposit of Collateral (margin) with BSE/NSE/MSE/ICCL/NCL/MSECCL and Clearing Member for trading.

I/We, _____, being registered with you to trade in am/are required to deposit margins with you.

I/We hereby authorize you to deposit my/our margins with BSE/NSE/MSE/ICCL/NCL/MSECCL and Clearing Member as the case may be for trading.

Thanking you,

Yours Faithfully,

Signature (s)

(Counter Signature of Authorised Person)
With Stamp/Seal

Name (s)

Stamp/Seal of the Client:

Note: If Authorised Person himself/itself is client, then he/it has to sign at both the places.

Date:

Unlock Wealth Securities Limited
Padam Towers, 14/113, Civil Lines, Kanpur-208001

Dear Sir/Madam,

Ref. Client Code. _____

Sub: Running Account Authorization Receipt & Payment of Funds

I/we hereby state that I/we am/are aware about the norms relating to pay out of securities and funds. In order to facilitate operations and banking convenience, I/we hereby authorize Unlock Wealth Securities Limited to maintain a running account with them, instead of daily settlement of funds due to me/us. Further, the pay-out of funds may be retained by Unlock Wealth Securities Limited and I/we agree not to claim any interest from Unlock Wealth Securities Limited on such funds so retained by them. The funds so retained shall be available to Unlock Wealth Securities Limited for exposure/margin purposes for me/us. I/we further agree that Unlock Wealth Securities Limited shall not be liable for any claim for loss or profit or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this agreement.

On written request by me/us to Unlock Wealth Securities Limited through the Authorised Person, Unlock Wealth Securities Limited may release the funds to me/us, if sufficient margins in respect of my/our trading across all segments of the stock Exchanges are available with Unlock Wealth Securities Limited.

I/we hereby agree that I/we shall confirm the statement of funds within one month (preferably within 7 working days) of receipt of statements in this regard being issued by Unlock Wealth Securities Limited, failing which it is agreed by me/us that the statement of balances as issued by Unlock Wealth Securities Limited is proper and correct. This running account request and authorization is subject to revocation at any time.

I/We request to settle my account, funds, once in a calendar month/quarter and accordingly send the statements.

I/we request you to send me/us statements of account of funds and securities etc. by email on the email ID, if provided for ECN.

Thanking you,

Yours faithfully,

Signature (s)

Name (s)

Stamp/Seal of the Client:

Note: In case the client is an individual, then the above should be signed by him/her and in case the client is a partnership firm/company, then the above should be signed by the partners/directors.

**VOLUNTARY
AND
OTHER
DOCUMENTS**

Date:

ANNEXURE-7

To,
 Unlock Wealth Securities Limited
 Padam Towers, 14/113, Civil Lines, Kanpur – 208001
 Dear Sirs,

Sub. : SMS and E-mail Alerts to Investors

With reference to SEBI Circular No . CIR/MIRSD/15/2011 dated 02.08.2011, I/We Wish to avail the following facility (ticked in the box):

1. SMS Alert or

2. Email Alerts or

3. Both (SMS and Emails) Alerts

My/our Mobile No. is..... (Compulsory for any of aforesaid facility).

My/our Email ID is (Compulsory for facility no. 2 & 3)

Aforesaid Mobile no. and Email ID are also used for/by your following clients (my relations), who also wished to avail the aforesaid ticked facility, and, as per requirement, my PAN be recorded as Master PAN in the Client Registration System.

S.No.	Relationship	Name	Client Code	PAN	Signature
1.	Dependent Mother				
2.	Dependent Father				
3.	Spouse				
4.	Dependent Major Children :				
	(I)				
	(ii)				
	(iii)				

Yours faithfully

(Signature of the Client)

Unlock Wealth Securities Limited

(Formerly known as UPSE Securities Limited)

'PADAM TOWERS', 14/113, Civil Lines, Kanpur, 208001

CIN: U67120UP2000PLC025330

Phones: 2338134 Telefax: 91 – 512 – 2338220

E-mail :upsesectd@gmail.com

E-mail ID for investor complaints: upseseccomplains@gmail.com

Member: BSE Limited SEBI Registration Numbers INB 01116838 & INF 01116838

Member: National Stock Exchange of India Ltd.

SEBI Registration Numbers INB 231116832 & INF 231116832

Member: Metropolitan Stock Exchange of India Ltd., SEBI Registration Numbers INE 261116838, INB 261116835 & INF 261116835

To, _____ Date: _____

Client Name: _____ Client Code: _____

Address: _____

Authorised Person _____

Sub : Client Registration Documents

In terms of SEBI guidelines issued from time to time, following are the mandatory documents required for registration of a client with Stock Broker for trading:

- a) KYC Application/Account Opening Form (Booklet-I)
- b) Trading Account Related details (Booklet – I)
- c) Rights and Obligations (Booklet-II)
- d) Risk Disclosure document (Booklet-II)
- e) Guidance Note (Booklet-II)
- f) Policies and Procedure (Booklet-I)

Additional clauses of document, as mentioned in the KYC Booklets, are voluntary, at the discretion of the member and the client and are meant for satisfaction about the antecedents of the client.

I/We undertake to submit any other document (self-attested) to the member e.g. copy of Bank Statement/Pass Book, cancelled cheque, DP Master, etc.

Client is requested to check his ledger account, holding, outstanding position, contract notes and margin regularly at www.upsecindia.com through on line office icon. You client code is your login and your default password is your PAN.

The documents mentioned at Serial No. a) to f) are also available at our website www.upsecindia.com you can read and download.

Name & Signature with Stamp of Authorised Person

Your e-mail ID as recorded by us is as under _____

Received a copy of my KYC Application/Account Opening Form & Booklets (KYC Form with all attachment)

For UNLOCK WEALTH SECURITIES LIMITED

Signature _____

Name _____

Chief Executive Officer

(Acknowledgement of the Client) Date :

Unlock Wealth Securities Limited

(Formerly known as UPSE Securities Limited)

'PADAM TOWERS'. 14/113, Civil Lines, Kanpur, 208001

CIN: U67120UP2000PLC025330

Phones: 2338134 Telefax: 91 – 512 – 2338220

E-mail :upsesecld@gmail.com

E-mail ID for investor complaints: upseseccomplaints@gmail.com

Member: BSE Limited SEBI Registration Numbers INB 01116838 & INF 011116838

Member: National Stock Exchange of India Ltd.

SEBI Registration Numbers INB 231116832 & INF 231116832

Member: Metropolitan Stock Exchange of India Ltd., SEBI Registration Numbers INE 261116838, INB 261116835 & INF 261116835

To, _____ Date: _____

Client Name: _____ Client Code: _____

Address: _____

Authorised Person _____

Sub : Client Registration Documents

In terms of SEBI guidelines issued from time to time, following are the mandatory documents required for registration of a client with Stock Broker for trading:

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- b) Trading Account Related details (Booklet – I)
- c) Rights and Obligations (Booklet-II)
- d) Risk Disclosure document (Booklet-II)
- e) Guidance Note (Booklet-II)
- f) Policies and Procedure (Booklet-I)

Additional clauses of document, as mentioned in the KYC Booklets, are voluntary, at the discretion of the member and the client and are meant for satisfaction about the antecedents of the client.

I/We undertake to submit any other document (self-attested) to the member e.g. copy of Bank Statement/Pass Book, cancelled cheque, DP Master, etc.

Client is requested to check his ledger account, holding, outstanding position, contract notes and margin regularly at www.upsecindia.com through on line office icon. You client code is your login and your default password is your PAN.

The documents mentioned at Serial No. a) to f) are also available at our website www.upsecindia.com you can read and download.

Name & Signature with Stamp of Authorised Person

Your e-mail ID as recorded by us is as under _____

Received a copy of my KYC Application/Account Opening Form & Booklets (KYC Form with all attachment)

For UNLOCK WEALTH SECURITIES LIMITED

Signature _____

Name _____

Chief Executive Officer

(Acknowledgement of the Client) Date :