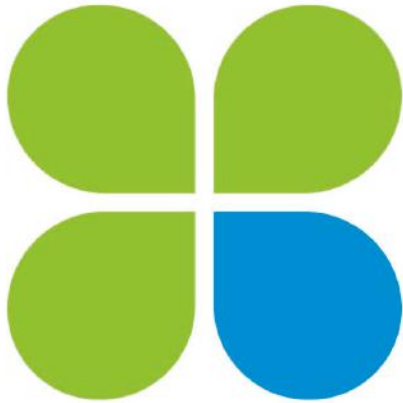


Sl. No.:.....



FORTUNE

CAPITAL SERVICES PVT LTD

ALWAYS ON YOUR SIDE

Depository Participant with CDSL

DP SEBI Regn. No. IN-DP-CDSL-729-2014

DEMAT ACCOUNT OPENING FORM (NON INDIVIDUALS)

CLIENT NAME :								
DP ID :	1	2	0	8	0	3	0	0
CLIENT ID :								

IMPORTANT INSTRUCTIONS

- Attested Memorandum / Articles of Association.
- Board Resolution to open a Demat / Trading account.
- List of Authorized signatories as per resolution with their signature and photographs.
- Certified copy of Income Tax Returns or bank statement.
- Board of Directors (Duly certified with photograph of minimum 2 directors).
- Copy of latest Annual Report duly certified with attachments including Balance Sheet.
- Copy of latest Identification of proof of Directors.
- Proof of Bank Account. Any one of the following may be submitted.
 1. Certified copy of Bank Statement.
 2. Certified copy of first page of Bank Pass Book.
- A cancelled cheque Mandatory, PAN number of the Corporate, Copy of Registration Certificate and Copy of PAN card of the Directors, Copy of the share holding pattern duly attested.

Note : Please put your signature in **17 places marked**  which are numbered for your convenience.

IN-PERSON VERIFICATION :

Name/Details of Branch/ Service Centre	
Name of the DP Staff	
Signature of the DP Staff & Employee Code	
Place & Date when 'IN PERSON' verification was carried out	Place : Date :



Fortune Capital Services Private Limited

Regd. Office : "Kochar Technology Park", 6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate, Ambattur, Chennai – 600 058.
Phone : 044 - 4560 9696 Email : ftc@ftconline.in Web : www.ftconline.in

Application No. _____

(Please fill in **ENGLISH** and in **BLOCK LETTERS**)

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation/ Registration; leaving one box blank between 2 words. Please do not abbreviate the Name)

2. **Date of Incorporation :** _____ (dd/mm/yyyy) **Place of Incorporation :** _____

3. **Registration No. (e.g. CIN) :** _____ **Date of Commencement of business :** _____ (dd/mm/yyyy)

4. **Status** Please tick (✓) Private Ltd. Co. Public Ltd. Co. Body Corporate Partnership Trust/Charities/NGOs
 FI FII HUF AOP Bank Government Body Non-Government Organisation
 Defence Establishment Body of Individuals Society LLP Others (Please specify) _____

5. **Permanent Account Number (PAN) (MANDATORY):** _____ Please enclose a duly attested copy of your PAN Card.

B. ADDRESS DETAILS (Please see guidelines overleaf)

1. **Address for correspondence :** _____

City/town/village: _____ Pincode: _____ State: _____ Country: _____

2. **Contact Details:** Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____

Fax: _____ Email id : _____

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

* Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____

* Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)

4. **Registered Address (if different from above) :**

City/town/village: _____ Pincode: _____ State: _____ Country: _____

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

* Latest Telephone Bill (Only Landline) * Latest Electricity Bill * Latest Bank Account Statement Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____

* Not more than 3 months old **Validity/Expiry date of proof of address submitted** _____ (DD/MM/YYYY)

C. OTHER DETAILS (Please see guidelines overleaf)

1. **Name, PAN, DIN/Aadhaar Number, residential address and photographs of Promoters/Partners/Karta/Trustees/Whole time directors :**
 (Please use the Annexure to fill in the details)

2. **Any other information :** _____

DECLARATION

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 may be held liable for it.

Place : _____ Date : _____

NAME & SIGNATURE(S)

**OF AUTHORISED
PERSON(S)**



FOR OFFICE USE ONLY

- IPV done
- Originals verified and Self - Attested copies received

(.....)
Signature of the Authorised Signatory

Seal/Stamp of the intermediary

Name : _____ Designation : _____

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/ 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 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 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 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.

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. • Authorised 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. • Authorised 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 authorised to act as authorised 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 : _____

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. Promoters, Whole time directors etc.)	Photograph



Name & Signature of the Authorised Signatory(ies)

Date :

Additional KYC Form for Opening a Demat Account For Non Individuals



FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

Fortune Capital Services Private Limited

Depository Participant with CDSL DP SEBI Regn No. IN-DP-CDSL-729-2014
Regd. Office : "Kochar Technology Park", 6th Floor, SP 31-A, 1st Cross Road, Ambattur Industrial Estate,
Ambattur, Chennai – 600 058. Phone : 044 - 4560 9696 Email : ftc@ftconline.in Web : www.ftconline.in

(To be filled by the Depository Participant)

Application Form No.		Date																		
DP Internal Reference No.																				
DP ID	1	2	0	8	0	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 following details :-

Holders Details

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



Third Authorised Signatory

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

Type of Account (Please tick whichever is applicable)

Status		Sub - Status	
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (specify) : _____		To be filled by the DP	
SEBI Registration No. (If Applicable)		SEBI Registration date	
RBI Registration No. (If Applicable)		RBI Approval date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others(specify) _____		



Second Authorised Signatory

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 the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Copy of Charges for Depository Services - Schedule A & Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
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 (Tick the applicable box. If not marked, the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
I/We wish to receive dividend / interest directly in to my/our bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No



Signatures Sole / First Authorised Signatory

Bank Details (Dividend Bank Details) :

Bank Code (9 digit MICR code)							
IFS Code (11 character)							
Account Number							
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others (Specify) _____				
Bank Name							
Branch Name							
Bank Branch Address							
	City		State				
	Country		Pincode				

Submit Bank proof as per following :

- (i) Photocopy 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, (or)
 - (iii) Photocopy of the Passbook having name and address of the BO, (or)
 - (iv) Letter from the Bank.
- ⇒ In case of options (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.

Other Details
Gross Annual Income Details
Income Range per annum :

<input type="checkbox"/> Up to Rs.1 Lac	<input type="checkbox"/> Rs.1-5 Lac	<input type="checkbox"/> Rs.5-10 Lac	<input type="checkbox"/> Rs.10-25 Lac	<input type="checkbox"/> Rs.25 lac-1 crore	<input type="checkbox"/> More than Rs.1 crore
Networth as on (date) _____ (Rs. _____) (Net worth should not be older than 1 year)					
Please Tick, if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP) / <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) Please tick if any of the authorised signatories / Promoters / Partners / karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP).				
Any other information :					

Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--	------------------------------	-----------------------------

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	Mobile No. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option)	<input type="checkbox"/> Yes <input type="checkbox"/> No									
	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										
Transactions Using Secured Texting Facility (TRUST), Refer to Terms & Conditions Annexure - 2.6	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td>NSE</td> <td>FORTUNE CAPITAL SERVICES PVT LTD</td> <td>14572</td> </tr> <tr> <td>BSE</td> <td>FORTUNE CAPITAL SERVICES PVT LTD</td> <td>6524</td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)	NSE	FORTUNE CAPITAL SERVICES PVT LTD	14572	BSE	FORTUNE CAPITAL SERVICES PVT LTD	6524	
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
	NSE	FORTUNE CAPITAL SERVICES PVT LTD	14572								
BSE	FORTUNE CAPITAL SERVICES PVT LTD	6524									
Easi To register for easi, please visit CDSL's website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No										

DECLARATIONS




I/We have received and read the Rights and Obligations document of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories 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. In case of non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations.

I/We hereby confirm that I/We will act on my/our own behalf and will continue to act to my/our behalf unless otherwise communicated in writing.

DECLARATIONS RE : PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") came into effect from July 1, 2005 vide Notification No. GSR 438(E) dated July, 1 2005 issued by Department of Revenue, Ministry of Finance, Government of India. Further SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all intermediaries should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Customer (KYC) policy. The intermediaries may, according to their requirements specify additional disclosures to be made by clients for the purpose of identifying , monitoring and reporting incidents of money laundering and suspicious transactions undertaken by clients. SEBI also issued another circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 advising all intermediaries to take necessary steps to ensure compliance with the requirement of section 12 of the Act, interalia, maintenance and preservation of records and reporting of information relatinto cash and suspicious transactions to Financial Intelligence Unit - India (FIU-IND), New Delhi. The Investor should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the Income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

To ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor transactions, FCSPL DP reserves the right to seek information, record customer's telephonic calls and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc. It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.

Signatures			
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			

(Signatures should be preferably in blue ink).

ANNEXURE - 2.4

Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to Bos for all debits.]

Definitions:

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

1. "Depository" means Central Depository (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 - 400 001 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 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 from the 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 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.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should 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 warrant 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 officials 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 read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

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

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable)

BO ID	1	2	0	8	0	3	0	0									
	(Please write your 8 digit DP ID)								(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 Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory

Place : _____ Date : _____

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL**1. Definitions:**

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having/will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time . Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository.
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case:-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.



Signatures

Sole / First Authorised Signatory

Second Authorised Signatory

Third Authorised Signatory

Place : _____

Date : _____

Rights and Obligations of Beneficial Owner and Depository Participant 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 informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

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

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

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.



Signatures

First / Sole Authorised Signatory



Second Authorised Signatory



Third Authorised Signatory

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

Freezing/ Defreezing of accounts

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.

Signatures			
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			

CHARGES FOR DEPOSITORY SERVICES - SCHEDULE - A

I/We agree to pay the charges as per the following for our Demat account effective _____ (dd/mm/yyyy)

SERIAL. No.	CHARGE HEAD	CHARGES
1.	Annual Maintenance Charges	Nil
2.	Documentation Charges	Rs. 175/- (If DDPI Registered)
3.	Dematerialization Charges	Rs. 2/- per certificate plus courier charges of Rs.35/- per demat request for every 500 gms.
4.	Debit Transaction charges Market / Inter-depository	A flat charge of Rs.20/- plus applicable GST
5.	SLB Charges	For Security Borrowing : Rs.25/- plus Depository charges For Security Lending : Rs.25/- plus Depository charges
6.	Pledge Charges Creation/ Closure and Confirmation of both / Invocations	Rs.50/- per transaction / ISIN
7.	Rematerialisation Charges	Rs.50/- per Certificate + Depository Charges
8.	Same Day Execution - Per Instruction / Per Scrip	Rs.50/- or 0.025% whichever is higher.
9.	Off-market Charges	Rs.50/- per ISIN
10.	Failed / Rejected Transactions	Rs.30/- per transaction.
11.	Demat Rejection Charges	Rs.35/- per rejection.
12.	Adhoc / Non periodic statement requests	Rs.25/- per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs.10/- plus courier charges.
13.	E-Mail Statement	Periodic Bills and Transactions statements and other communications will be sent by email only. Requests for Physical statements will be charged as mentioned above.
14.	Margin Pledge charges	Rs. 20 + GST

Signatures			
	First / Sole Holder	Second Holder	Third Holder
Name			

Other Points :

1. All charges would attract the service tax / cess / levies and/or other such taxes as applicable fro time to time.
2. All payments have to be made favouring FCSPL. You can pay by cheque or Demand Drafts payable at the local branch where the account is opened. Outstation cheques will not be accepted. You can make the Payment online.
3. All the percentages in the above structure would be applied on the value of the transaction as computed by the depository.
4. Out of pocket expenses incurred on the Dispatch of securities for Dematerialisation and communication charges incurred on out-station calls / faxes made specifically on request of the client will be charged on actuals.
5. Charges quoted above are for the services listed. Any services not listed above will be charged separately.
6. Any advance payments over and above the normal amount due can also be made. Any such higher amount paid than the minimum amount shall be adjusted against the bills raised from time to time.
7. All depositories charges will be levied at actuals fro time to time.

Important Note:

1. DP bills should be paid on or before the due date. A delayed period interest shall be levied @2% per month on the outstanding amount. In case of non-payment of DP charges within the due date, DP reserves the right to discontinue operation of the demat account till such time that the payment is received.
2. For all purposes the Bill date shall be construed as the date of demand and the bill will be considered as the Bill cum Notice and FCSPL reserves the right to “freeze depository account for debit transactions”, in case of non payment of charges after two days from the Bill due date.
3. The renewal charges for resuming the depository operations will be Rs.150/- per Account and the services will be resumed in minimum of two working days from the date of receipt of request at FCSPL branch.
4. I/We understand that the above charges are subject to revesion by FCSPL after providing a notice period of 30 days. Such revisions will notified by ordinary post / courier / email.

Signatures	 9 17		
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			

Annexure 2.5

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	1	2	0	8	0	3	0	0	Client ID	
Sole/ First Holder's Name										
Second Holder's Name										
Third Holder's Name										

To

Fortune Capital Services Pvt Ltd.

"Kochar Technology Park", 6th Floor, SP 31-A,
 1st Cross Road, Ambattur Industrial Estate, Ambattur,
 Chennai – 600 058. Phone : 044 - 4560 9696
 Email : ftc@ftconline.in Web : www.ftconline.in

Dear Sir / Madam,

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

OPTION 1:



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

OR

OPTION 2:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____(name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades.[settlement related transactions] effected through such Clearing Member / by PMS manager. The issuance of DIS booklet contains 10 slips costing Rs.500/- per booklet.

Yours faithfully,

Signatures			
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			

DIGITAL STATEMENT



To,

FORTUNE FINANCIAL SERVICES PVT LTD.

“Kochar Technology Park”, 6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate, Ambattur, Chennai – 600 058.

Date : _____

Reg : Beneficial Owner (BO) Account No. _____

I / We _____

[Name(s) of the BO(s)] had read and understood the Rights & Obligations of BO and DP at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I / We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I / We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me / us with statement of my / our BO account. But I / We reserve my / our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[E-mail address : _____]

I / We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me / us by acknowledged delivery.

Yours faithfully,

Signatures	11 17		
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			

 FORTUNE <small>CAPITAL SERVICES PVT LTD</small> <small>ALWAYS ON YOUR SIDE</small>	<p>Fortune Capital Services Private Limited</p> <p>Depository Participant with CDSL DP SEBI Regn No. IN-DP-CDSL-729-2014</p> <p>Regd. Office : “Kochar Technology Park”, 6th Floor, SP 31-A, 1st Cross Road, Ambattur Industrial Estate, Ambattur, Chennai – 600 058. Phone : 044 - 4560 9696</p>
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Acknowledgement Receipt

Application No.		Date							
-----------------	--	------	--	--	--	--	--	--	--

I/We hereby acknowledge the receipt of duly executed copy of KYC.

I/We hereby acknowledge the receipt of duly executed copy of Rights & Obligation of BO and DP.

I/We hereby acknowledge the receipt of Delivery Instruction Slips (DIS), if opted for Option 1.

I/We hereby acknowledge the receipt of Tariff Sheet & copy of all other documents as executed by me/us.

Signatures	12 17		
	First / Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			

Demat Debit and Pledge Instruction (DDPI)



TO ALL TO WHOM THESE PRESENTS SHALL COME

I / We _____
 S/o, D/o, _____ aged about _____
 I / We _____
 S/o, D/o, _____ aged about _____
 I / We _____
 S/o, D/o, _____ aged about _____
 residing / having our office / registered office at _____

an individual / a sole proprietary concern / a partnership firm / a body corporate/ trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932 / the Companies Act 1956 or any relevant Act, (hereinafter referred to as “Beneficial Owner”)

Whereas I / We hold beneficial owner account number 12080300_____with Central Depository Services (India) Limited (CDSL), through Fortune Capital Services Private Limited (name of the depository participant) registered with Securities and Exchange Board of India (SEBI) Bearing ID IN DP-CDSL-729-2014.

And Whereas

I / We are desirous to buy and sell securities through Fortune Capital Services Private Limited who is a stockbroker registered with SEBI and Member of recognized stock Exchange(s) bearing SEBI registration No. INZ000201438.

Whereas in the course of availing the services and for meeting the margin and settlement obligation thereof on the exchanges and in order to make the process more transparent and simpler , I / We explicitly agree to access my / our BO account by M/s Fortune Capital Services Private Limited for the limited purposes as mentioned herein

S.No.	Purpose	Signature of Client *	
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	1st Holder	
		2 nd Holder	
		3 rd Holder	
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1st Holder	
		2 nd Holder	
		3 rd Holder	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder	
		2 nd Holder	
		3 rd Holder	
4.	Tendering shares in open offers through Stock Exchange platforms	1st Holder	
		2 nd Holder	
		3 rd Holder	




I / We hereby authorize M/s Fortune Capital Services Private Limited to transfer the securities from my /our beneficiary account to the given demat accounts as mentioned herein below towards delivery settlement arising out of trades executed on the Stock Exchange and Pledging / Re-pledging of securities in favour of trading member (TM) / clearing member (CM) towards meeting margin requirements

SR.NO.	ACCOUNT TYPE	DP ID	DP NAME	CLIENT ID
1	NSDL Pool A/c – NSE	IN300095	ISSL	11620468
2	NSDL Pool A/c – BSE	IN300095	ISSL	11663119
3	CSDL Pool A/c – NSE	12080300	FCSP	00000087
4	Principal A/c. In CDSL	12080300	FCSP	00000091
5	CDSL NSE Early Pay-in Account	11000011	FCSP	00019659
6	CDSL BSE Early Pay-in Account	11000010	FCSP	00023690
7	Client Margin Pledge Account	12080300	FCSP	00221198
8	Client Securities Margin Funding Account	12080300	FCSP	00221204
9	Corporate TM Client Securities Margin Pledge	12080300	FCSP	00231833

I / We hereby agree that all such acts done by my /our above mentioned accounts shall be deemed to be acts done by me / us. Further, to return to me / us the securities or funds that may have been received by the stockbroker erroneously or those securities or funds that the stock broker was not entitled to receive from me / us.

This is a Revocable Demat Debit and Pledge Instructions (DDPI) without notice.

Signed and delivered by the within named Beneficial Owner/s

Name(s) of holder(s)	Signature(s) of holder*
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

SELF DECLARATION FORM – ANNEXURE TO ACCOUNT OPENING FORMS FOR ENTITIES – DP

Background:

- India has joined the Multilateral Competent Authority Agreement (MCAA) on Automatic Exchange of Financial Account Information (AEOI) on June 3, 2015 and has agreed to certain global standards on automatic exchange of information, known as Common Reporting Standards (CRS). Further, the Government of India (GoI) signed an Inter-Governmental Agreement (IGA) with United States of America (USA) on July 9, 2015 to improve international tax compliance and to implement Foreign Account Tax Compliance Act (FATCA) in India.
- To implement the CRS on AEOI and also the IGA with USA, the GoI has made necessary amendments in Section 285BA of the Income-tax Act, 1961 and notified Rules 114F to 114H in the Income-tax Rules, 1962 vide amendment dated August 7, 2015. These Rules are available on: <http://www.incometaxindia.gov.in>.
- SEBI has issued a circular dated August 26, 2015 advising all registered intermediaries to implement FATCA and CRS as per above mentioned Rules.

We do understand that the information mentioned above is technical in nature and hence we advise you to consult your financial or tax advisor for more details.

DEMAT ACCOUNT NUMBER / FORM NO.

[Mention NSDL 8 digit Client ID / CDSL 16 digit Client ID in the above box]

Entity Constitution Type : (Please tick one of the following) :			
<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> HUF	<input type="checkbox"/> Private Limited Company
<input type="checkbox"/> Public Limited Company	<input type="checkbox"/> Society	<input type="checkbox"/> AOP/BOI	<input type="checkbox"/> Trust
<input type="checkbox"/> Liquidator	<input type="checkbox"/> Limited Liability Partnership	<input type="checkbox"/> Artificial Juridical Person	<input type="checkbox"/> Not Categorised Others:
Name of the Entity : _____			
Permanent Account Number (PAN): _____			
Date of Commencement of Business : ___/___/_____		Place of incorporation: _____	
Country of Incorporation : <input type="checkbox"/> India <input type="checkbox"/> Other (Please specify the name of the country) -----			
Address for Tax Purpose		<input type="checkbox"/> Same as correspondence address <input type="checkbox"/> Same as registered office address <input type="checkbox"/> Other [please specify] _____ _____ _____	
Address Type[for address mentioned in the account opening form]	<input type="checkbox"/> Residential Or Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business
	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified	
Nature of Business (kindly fill details as per Annexure 6)	_____		

Proof of Identity (POI) (Certified copy of any one of the following Proof of Identity needs to be submitted)

- Certificate of Incorporation/Formation
- Registration Certificate
- Resolution of Board/ Managing Committee
- Memorandum and Article of Association/Partnership Deed/Trust Deed
- Officially valid documents in respect of person authorized to transact

Identification Type & Identification Number (tick as applicable)

- Company identification Number
 Trust registration Number
 TIN/Tax deduction Account Number (TAN)
 Global Entity Identification Number (EIN)
 US GIIN
 Other

Identification issuing Country for identification number provided above : _____

Declaration of Tax Residency

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated tax identification number (TIN) and TIN issuing country).

Country/countries of tax residency	Tax Identification number (TIN)/ Functional Equivalent number	TIN/ functional Equivalent Issuing Country	Document type attached (tax residence certificate or TIN card or others)	Date upto which the documentary evidence is valid

(Documentary evidence to be provided for foreign country of tax residence and TIN) - If tax resident of Country outside India, kindly provide confirmation as under:

If US tax resident, kindly confirm whether the Entity is a US Specified Person. **Yes No**
[If No, Kindly indicate exclusion number from **Annexure 1**]

If tax resident of country other than USA, kindly tick if any of the following is applicable:
a corporation, the stock of which is regularly traded on one or more established securities markets;

any corporation that is a related entity of a corporation mentioned in item

a Governmental entity; an International organisation; a Central bank; or a financial institution

A. Financial Institution

1. Reporting Financial Institution	If Yes, please tick atleast one of the below categories, and provide your FATCA Global Intermediary Identification Number (GIIN):
Yes	Depository Institution
No	Custodial Institution
	Investment Entity
	Specified Insurance Company
	GIIN_____
2. Non Reporting Financial Institution	If yes, please provide category from Annexure 2

Yes	_____
No	_____
3. Sponsored Investment Entity and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN. Sponsoring Entity's Name: _____ Sponsoring Entity's GIIN: _____	
4. Trustee Documented Trust and has not yet obtained a GIIN. Please provide the Trustee's name and the GIIN Name of the Trustee of the Trust: _____ GIIN of the Trustee: _____	
5. Owner documented Financial Institution Yes No [If Yes, each controlling person should fill details as per Annexure A]	6. Non-Participating Foreign Financial Institution Yes No

B. Non - Financial Entity [NFE]	
Active NFE Yes No	If yes, provide category _____ [refer Annexure 3] If category is Sr. No. ii, please provide the following details, as applicable: a) Provide name of the Stock Exchange on which listed _____ (b) If related entity of listed company, please provide (i) Name of the company _____ (ii) Stock Exchange on which listed _____
Passive NFE Yes No Direct reporting NFE - Yes/ No	If yes, provide category _____ [refer Annexure 4] (Each Controlling Person of the Passive NFE should fill Controlling Person Form – Annexure A) If Yes, provide GIIN _____

DETAILS OF RELATED PERSON [In case of addition/deletion of related persons please provide the following information]

Related Person Type KYC Number of related person (if available)-----(If KYC number is available only Related person type and Name is mandatory <input type="checkbox"/> Director <input type="checkbox"/> Promoter <input type="checkbox"/> Karta <input type="checkbox"/> Trustee <input type="checkbox"/> Partner <input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Court Appointed Official <input type="checkbox"/> Beneficiary			
Name _____	Maiden Name [if any] _____	Father's / Spouse's Name _____	Mother's Name _____
Date of Birth ____/____/____	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Unmarried	Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others _____ (Please specify the country)
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		<input type="checkbox"/> Service [pls specify] <input type="checkbox"/> - Private Sector <input type="checkbox"/> - Public Sector <input type="checkbox"/> - Govt. Sector <input type="checkbox"/> Business <input type="checkbox"/> Others [pls specify] <input type="checkbox"/> - Professional <input type="checkbox"/> - Self Employed <input type="checkbox"/> - Retired <input type="checkbox"/> - Housewife <input type="checkbox"/> - Student <input type="checkbox"/> Not Categorized	
Document submitted as proof of identity of the related person : [please specify]			
Proof of Address (POA) (<i>Certified copy of any one of the following Proof of address needs to be submitted</i>) Current/Permanent/Overseas Address Details: Address Type : <input type="checkbox"/> Residential Or Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Proof of Address: <input type="checkbox"/> Passport Number - Passport Expiry Date ____/____/____ [dd/mm/yyyy] <input type="checkbox"/> Driving License - Driving License Expiry date ____/____/____ [dd/mm/yyyy] <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter ID card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others (any document notified by Central government) - Identification Number _____ Address: _____ _____ City/Town/Village: _____ State: _____ Pin/Post Code: _____ Country: _____			
RESIDENCE FOR TAX PURPOSE IN JURISDICTION OUTSIDE INDIA			
Country of Residence	Tax Identification Number or equivalent [if issued in jurisdiction]	Place / City of Birth	County of Birth

ANNEXURE A
Number of Controlling persons:

Details of each controlling person(s), confirming all countries of tax residency/permanent residency / citizenship and all tax identification numbers for each controlling persons [please attach additional sheets if necessary]:

	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5	Controlling Person 6
Name						
Maiden Name [if any]						
Father's Name						
Spouse's Name [optional]						
Mother's Name:						
PAN						
Aadhar Number [optional]						
Marital Status [Married/Unmarried/ Others]						
Telephone / Mobile no.						
Nationality (Indian, Others)						
Gender [Male, Female, Other]						
Date of Birth						
Place / City of Birth						
Country of Birth						
Residential Status (Resident Individual; Non Resident Indian; Foreign National; Person of Indian Origin)						
Address [include City State, Country & Pincode]						
Address Type [Residential Or Business/Residential/ Business/Registered Office/Unspecified]						
PAN/Tax Identification number [or functional equivalent] for each country identified in relation to each person						
Identification Type [TIN or Other, please specify the name of document for above]						

% of beneficial interest / ownership / capital / profits						
Controlling Person Type code [Refer Annexure 5]						
Occupation Type [please specify] A. Service i. Private Sector ii. Public Sector iii. Govt. Sector B. Business C. Others i. Professional ii. Self Employed iii. Retired iv. Housewife v. Student D. Not Categorized						
ADDITIONAL DETAILS TO BE FILLED BELOW ONLY BY CONTROLLING PERSONS HAVING TAX RESIDENCY / PERMANENT RESIDENCY/ CITIZENSHIP IN ANY COUNTRY OTHER THAN INDIA INCLUDING GREEN CARD HOLDERS						
Country of Tax Residency						
Tax Identification Number						
TIN/Functional Equivalent Issuing Country						
Documentary evidence enclosed for country of tax residence or TIN or others						
Date upto which the documentary evidence is valid						

Declaration and Undertakings

I / We certify that:

- the information provided in the Form is in accordance with Section 285BA of the Income- tax Act, 1961 read with Rules 114F to 114H of the Income-tax Rules, 1962.
- the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self-certification alongwith documentary evidence.
- I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GoI) /Reserve Bank of India for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.

- f) I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- g) It shall be my / our responsibilities to educate myself / ourselves and to comply at all times with all relevant laws relating to reporting under Section 285BA of the Act read with the Rules thereunder.
- h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information



Signature of the authorised signatories
[under rubber stamp]

Name: _____

Position/Title: _____

Date

--	--	--	--	--	--	--	--

Place : _____

Instructions:

All the information mentioned above have to be mandatorily provided

Information on the terms used in the Annexure to the Account opening form:

Terms in the Annexure:

- Reporting financial institution means a custodial institution, a depository institution, an investment entity, or a specified insurance company which is registered with US IRS and obtained a Global Intermediary Identification Number (GIIN).
- “custodial institution” means any entity that holds, as a substantial portion of its business, financial assets for the account of others
- “depository institution” means any entity that accepts deposits in the ordinary course of a banking or similar business;
- “investment entity” means any entity,-
(A) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer, namely:-
(i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; or
(ii) individual and collective portfolio management; or
(iii) otherwise investing, administering, or managing financial assets or money on behalf of other persons; or
(B) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a financial institution.
- “specified insurance company” means any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract;
- Owner Documented Financial institution: It is an Financial Institution which does not report to the US IRS. Owner documented FI are generally small investment entities.
- Direct Reporting Non-financial Entity – It is a Passive NFE but will not share the details of the controlling persons with the financial institution it maintains accounts with but will report directly to US IRS and so its GIIN should be taken

- Controlling persons means natural persons who exercise control over an entity who includes a beneficial owner as defined in Explanation to sub-rule (3) of rule 9 Prevention of Money-laundering (Maintenance of Records) Rules, 2005. In determining the beneficial owner the procedure specified in the RBI/SEBI/IRDA circulars shall be applied. In the case of Trust, the controlling persons mean the settlor, the trustees, the protector, the beneficiaries or class of beneficiaries and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, the said expression means the person in equivalent position.

Annexure 1: Exclusions from being treated as Specified US Persons

Sr. No.	Type of entity
1	a corporation the stock of which is regularly traded on one or more established securities markets;
2	a member of the same expanded affiliated group of the listed company,
3	the United States or any wholly owned agency or instrumentality thereof
4	US State or Territory, any political subdivision, or any wholly owned agency or instrumentality
5	501(a) Entity or 7701(a)(37) individual retirement plan
6	bank as defined in section 581 of the U.S. Internal Revenue Code;
7	real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code
8	regulated investment company or entity under the Investment Company Act of 1940
9	any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
10	any tax exempt trust
11	a registered dealer in securities, commodities, or derivative financial instruments
12	a broker as defined in section 6045(c) of the U.S. Internal Revenue Code;
13	any tax-exempt trust under a plan that is described in section 403(b) or section 457(g)

Annexure 2: “Non-reporting financial institution”

Sr.No	Category
1	a Governmental entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by reporting financial institution
2	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental entity, International Organization or Central Bank;
3	a non-public fund of the armed forces, Employees’ State Insurance Fund, a gratuity fund or a provident fund;
4	An Indian investment entity held only by (1) to (3) above
5	a qualified credit card issuer;
6	Specified Investment advisor or investment manager or executing broker
7	Specified exempt collective investment vehicle
8	a financial institution with a local client base
9	a local bank*
10	a financial institution with only low-value accounts
11	sponsored investment entity and controlled foreign corporation
12	Trustee documented trust
13	sponsored closely held investment vehicle, in case of any U.S. reportable account

Authorisation to Debit Demat Account Operating Charges

To

Fortune Capital Services Pvt. Ltd.,
"Kochar Technology Park", 6th Floor, SP 31-A, 1st Cross Road,
Ambattur Industrial Estate, Ambattur, Chennai – 600 058.

Dear Sir,

SUB: Authorisation for debit the Demat Account Charges

REF: Trading Client ID : _____

I / we have opened / have a CDSL beneficiary account with you alongwith trading account for investment and trading purposes. I / we hereby authorize you to debit from my trading account, the charges payable towards transaction charges and applicable statutory levies in the above said demat account. I / we are aware of the charges for operating the said demat account with you. Any such sum debited to my trading account shall be binding on me / us.

Thanking You,

Yours truly,



Signature of Client

FOR OFFICE USE ONLY
MAPPING

	Code	Name
SUB-BROKER		
MB / MF		
RM NAME (DIRECT)		
RM NAME (INDIRECT)		

Data Entered in System by	
Name :	Signature :