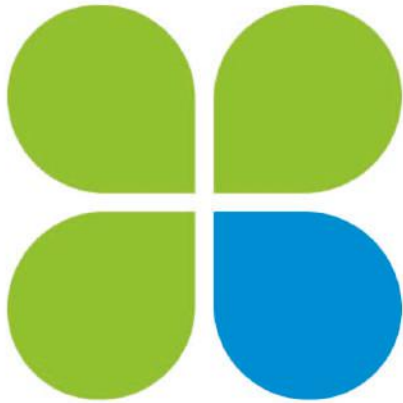


Sl. No.:.....



**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

CLIENT NAME :								
DP ID :	<b>1</b>	<b>2</b>	<b>0</b>	<b>8</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>0</b>
CLIENT ID :								

## IMPORTANT INSTRUCTIONS

1	ID Proof	1 Self-attested copy of any of the following documents : i) Passport Number    iv) Driving Licence ii) Voter ID card        v) UID (Aadhaar) iii) PAN card              vi) NREGA Job card
2	Address Proof	1 Self-attested copy of any of the following documents : i) Passport Number    iii) Driving Licence    v) NREGA Job card ii) Voter ID card        iv) UID (Aadhaar)
3	Bank Proof	1 cancelled cheque (Personalised i.e Name to be printed on the cheque). If not, please attach a copy of Passbook along with 1 to 3 months Transaction Page or Bank Statement of latest 1 to 3 months.


**Note :** Please put your signature in 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 :

## Additional KYC Form for Opening a Demat Account

For Individuals

 <b>FORTUNE</b> CAPITAL SERVICES PVT LTD ALWAYS ON YOUR SIDE	<b>Fortune Capital Services Private Limited</b> 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													

<b>Name *</b>	
---------------	--



Third Holder

Second Holder



Sole / First Holder



Signatures

\* 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"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual - Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository receipts <input type="checkbox"/> Others(specify) _____	

**Details of Guardian ( Incase the account holder is a minor)**

Guardian's Name		PAN	
Relationship with the Applicant			

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 <b>my/our</b> 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

**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**

<b>Income Range per annum :</b> <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"/> More than Rs.25 Lacs	
<b>Networth as on (date)</b> _____ (Rs. _____) (Net worth should not be older than 1 year)	
<b>Occupation</b> (Please tick any one)	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____
Please Tick, if Applicable	<input type="checkbox"/> Politically Exposed Person (PEP)    / <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
Any other information : _____	

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

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	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									
Transactions Using Secured Texting Facility ( <b>TRUST</b> ), Refer to Terms & Conditions <b>Annexure - 2.6</b>	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										
	<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									
<b>Easi</b>	To register for <b>easi</b> , please visit CDSL's website : <a href="http://www.cdslindia.com">www.cdslindia.com</a> <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the Portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No									

## 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]**

 <b>FORTUNE</b> <small>CAPITAL SERVICES PVT LTD</small> <small>ALWAYS ON YOUR SIDE</small>	<b>Fortune Capital Services Private Limited</b> 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	<b>FORM FOR NOMINATION</b> (To be filled in by individual applying singly or jointly)
---	--	--

Date	D	D	M	M	Y	Y	Y	Y	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 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee	Equally % <small>[If not equally, please specify percentage]</small>	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
3	Relationship With the Applicant ( If Any)			
4	Address of Nominee(s)			
City / Place: State & Country:				
PIN Code				
5	Mobile / Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	<b>Nominee Identification details—</b> [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"/> Savings 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"/> Savings 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.)			 5 41	
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:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

**Declaration Form for opting out of nomination**

**[Annexure B 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]**

To	Date	D	D	M	M	Y	Y	Y	Y
<b>Fortune Capital Services Private Limited</b>									
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									
UCC/DP ID									
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.									
<b>Name and Signature of Holder(s)*</b>									
1. 	2. 	3. 							

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression,

Kindly read the following instructions before filling up Nomination Details



1. The nomination can be made only by Individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-Individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family (HUF), Holder of Power of attorney cannot nominate. If the account is held jointly, all the joint holders must sign the nomination form.
2. Nomination can be made in favour of a Minor, in that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner(s). Guardian should be someone other than the holders of the beneficiary account.
3. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a Family or a Power of attorney holder. A Non-resident Indian (NRI) can be Nominee subject to the RBI Regulations in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a nominee shall be valid discharge by the Depository or Depository Participant against the legal heir of the beneficial owner(s).
6. The cancellation of Nomination can be made by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family (HUF), Holder of Power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all the joint holders must sign the cancellation form.
7. On cancellation of nomination, the nomination shall stand rescinded and the Depository / Depository Participant shall not be under any obligation to transfer the securities in favour of the Nominee.
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of shares for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. In case you do not wish to nominate, we request you to tick the first option.

**(To be filled by DP)**

Nomination accepted and registered vide Registration No. \_\_\_\_\_ dated \_\_\_\_\_

For **FORTUNE CAPITAL SERVICES PVT. LTD.**

Authorised Signatory

**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			
	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
Name			

( 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](mailto: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 Holder

Second Holder

Third Holder

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 Holder



Second Holder

Third Holder

### 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			
	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
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			
	<b>First / Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
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 <sup>nd</sup> Holder	
		3 <sup>rd</sup> 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 <sup>nd</sup> Holder	
		3 <sup>rd</sup> Holder	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder	
		2 <sup>nd</sup> Holder	
		3 <sup>rd</sup> Holder	
4.	Tendering shares in open offers through Stock Exchange platforms	1st Holder	
		2 <sup>nd</sup> Holder	
		3 <sup>rd</sup> 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	CDSL 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.)		

## CHECK LIST

Sl. No.	Details	Checked By	Checked By	Checked By
1.	Signature across Photograph			
2.	Signature in 41 Places			
3.	Clear & Legible ID Proof (Self attested)			
4.	Clear & Legible Address proof (Self attested)			
5.	Clear & Legible Bank Account Proof (Self attested) / Cancelled cheque leaf with IFSC Code duly signed			
6.	Clear & Legible Xerox copy of PAN card (Self attested)			
7.	Clear & Legible Financial Proof			

## FOR OFFICE USE ONLY

### MAPPING

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

### Data Entered in System by

Name :	Signature :
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