DEF 6.0

Sl. No.:............................

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

ACCOUNT OPENING FORM

SUB-BROKER- SRINATH.T.V
REFARAL CODE- RSS88
BANGALORE
M:8050313363

CLIENT NAME :	
CLIENT CODE	

INDEX OF DOCUMENTS

FORTUNE CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

Annexures A, B, C & D are available in the link http://ftconline.in/download/Annexures A to D.pdf

DOCUMENTS TO BE ATTACHED ALONG WITH THE TRADING FORM

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 alongwith 1 to 3 months Transaction Page or Bank Statement of latest 1 to 3 months.
4	Income Proof	1 Self-attested copy of any of the following documents : i) Pay slip (last 3 Months) ii) Form 16 / IT Returns (latest) iii) 6 month Bank statement (latest) iv) Copy of Demat Holding with any other Broker / DP v) If you do not have any of the documents listed above, we request you to sign the Self-Declaration on the last page of the Trading form alongwith latest bank transaction page of 1 to 3 months.

In-Person Verification : The Exchange requires us to perform in-person verification, so you have to be available on a webcam at a later date for the in-person verification.

Cheque for Account Opening Charges :

1	Pre-printed Forms	- Rs.350/- in favour of Fortune Capital Services Pvt. Ltd.,
2	PDF / Self printed Forms	- Rs.300/- in favour of Fortune Capital Services Pvt. Ltd.,

QUICK CHECK LIST FOR CLIENT

1. **Photocopy of clear and legible PAN Card / ID Proof** ☐
2. **Photocopy of clear and legible Address Proof** ☐
3. **Photocopy of clear and legible Bank Proof (Name, A/c. No. MICR & IFSC details)** ☐
4. **Photocopy of Financial Proof** ☐
5. **Application charges in the name of Fortune Capital Services Pvt. Ltd.,** ☐
6. **Sign in all the places ☞ (33) marked - Pagewise details given below.** ☐

Page No.	No. of Signatures	Check & Tick
KYC Application	2	☐
3	1	☐
4	1	☐
7	1	☐
9	6	☐
11	1	☐
13	1	☐
14	7	☐
15	1	☐
17	1	☐
19	2	☐
20	1	☐
21	2	☐
22	1	☐
23	1	☐
24	1	☐
26	1	☐
27	2	☐

KNOW YOUR CLIENT (KYC) APPLICATION FORM (FOR INDIVIDUALS ONLY)

FORTUNE CAPITAL SERVICES PVT LTD ALWAYS ON YOUR SIDE

Fortune Capital Services Private Limited

Regd. Office : 905, 1st Floor, Soundarya Colony, Syndicate Bank Colony, Annanagar West Extension, Chennai 600 101. Phone : 044 - 4560 9696
E-mail : ftc@ftconline.in Website :www.ftconline.in

Application No.

PHOTOGRAPH

1/33

Please affix your recent passport size photograph and sign across it

(Please fill in **ENGLISH** and in **BLOCK LETTERS** with black ink)

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. **Name of the Applicant :** ____________________

2. **Father's/ Spouse Name :** ____________________

3. **a. Gender :** ☐ Male ☐ Female **b. Marital Status :** ☐ Single/ ☐ Married **c. Date of birth :** ________ (dd/mm/yyyy)

4. **a. Nationality :** ____________________ **b. Status :** ☐ Resident Individual ☐ Non Resident ☐ Foreign National

5. **a. PAN:** ____________________ **b. Aadhaar Number, if any:** ____________________

6. **Specify the proof of identity submitted:** ____________________

B. ADDRESS DETAILS

1. **Residence Address :** ____________________

   ____

   City/Town/Village: ____________ Pincode: ________ State: ____________ Country: ____________

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

   Fax: ____________ Email id : ____________

3. **Specify the proof of address submitted for residence address :** ____________________

4. **Permanent Address** (if different from above or Overseas Address, Mandatory for Non-Resident Applicant) **:**

   ____

   ____

   City/Town/Village: ____________ Pincode: ________ State: ____________ Country: ____________

DECLARATION

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

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____

SIGNATURE OF APPLICANT

Date : ____________ (dd/mm/yyyy)

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 apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN
(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g.Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- 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.

Name of the Trading Member	:	**Fortune Capital Services Private Limited**
Name of the Clearing member	:	IL & FS Securities Services Ltd., SEBI Regn. No. INF231133630 Edelweiss Securities Ltd., SEBI Regn. No. INE231193310

<u>SEBI Registration No. Details</u>:

NSE	:	CM : INB 231457236 F & O: INF 231457236 CDS : INE 231457236 NSE Code No. 14572
BSE	:	CM : INB 011457232 F & O: INF 011457232 BSE Clearing No. 6524
Registered office address	:	**M/s. Fortune Capital Services Private Ltd.,** No. 905, First Floor, Soundarya Colony, (Syndicate Bank Colony), Anna Nagar West Extension, Chennai - 600 101. Phone : 044- 4560 9696 E-Mail : ftc@ftconline.in Website: www.ftconline.in
Compliance officer name	:	**S. Narasimhan**
phone no	:	044- 4560 9696
e-mail id	:	*ftc*@ftconline.in
Managing Director name	:	**K. Narayana Moorthy**
phone no.	:	044- 4560 9696
e-mail id	:	knarayanamoorthy@ftconline.in

For any grievance / dispute please contact Fortune Capital Services Private Limited at the above address or email id- ftc@ftconline.in and Phone no. 91- 44 4560 9696. In case not satisfied with the response, please contact the concerned exchange(s) at

National Stock Exchange of India Ltd. (NSE)
Ph : (022) 26598190
Fax : (022) 26598191
E-mail : ignse@nse.co.in

Bombay Stock Exchange Ltd. (BSE)
Ph : (022) 2272 1233 / 34
Fax : (022) 2272 3677
E-mail : is@bseindia.com

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

FORTUNE CAPITAL SERVICES PVT. LTD.

Member : NSE & BSE
Regd. Office : No.905, First Floor, Soundarya Colony, (Syndicate Bank Colony), Anna Nagar West Extension, Chennai - 600 101.
Phone : 044 - 4560 9696 Email : ftc@ftconline.in Web : www.ftconline.in

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instruction :

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

For office use only
(To be filled by financial institution)

Application Type * ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type * ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle name	last name
☐ Name* (same as ID proof)				
Maiden name (If any*)				
Father / Spouse name *				
Mother name *				

Date of Birth * D D - M M - Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M - Male ☐ F - Female ☐ T - Transgender
Marital Status* ☐ Married ☐ Unmarried ☐ Others
Citizenship* ☐ IN - Indian ☐ Others (ISO 3166 Country Code)
Residential Status* ☐ Resident Individual ☐ Non Resident Individual ☐ Foreign National ☐ Person of Indian Origin
Occupation Type* ☐ S- Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)
☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student)
☐ B- Business
☐ X- Not categorised

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

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)
ISO 3166 Country Code of Jurisdiction of Residence*
Tax Identification Number or equivalent (If issued by jurisdiction)*
Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

☐ A - Passport Number Passport Expiry date D D - M M - Y Y Y Y
☐ B - Voter ID card
☐ C - PAN card
☐ D - Driving Licence Driving Licence Expiry Date D D - M M - Y Y Y Y
☐ E - UID (Aadhaar)
☐ F - NREGA Job card
☐ Z - Others (any document notified by the central government) Identification Number
☐ S - Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS(PoA)*

☐ 4.1 CURRENT/PERMANENT / OVERSEAS ADDRESS DETAILS (Please refer instruction D at the end)
(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity card ☐ NREGA Job card ☐ Others Please specify
☐ Simplified Measures Account - Document Type code

Address
Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T. Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email ID) (Please refer instruction F at the end)

Tel. (Off) – Tel. (Res) – Mobile –

Fax – Email ID

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

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle name last name

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

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please refer instruction **H** at the end)

☐ A - Passport Number Passport Expiry date D D – M M – Y Y Y Y

☐ B - Voter ID card

☐ C - PAN card

☐ D - Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E - UID (Aadhaar)

☐ F - NREGA Job card

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

☐ S - Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Centrak KYC Registry through SMS/Email on the above registered number/email address. 4/33

Date : D D – M M – Y Y Y Y Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ **Certified Copies**

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

(Employee Signature)

INSTITUTION DETAILS

Name : FORTUNE CAPITAL SERVICES PVT. LTD.

Code :

[INSTITUTION STAMP]

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

General Instructions :

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

A Clarification / Guidelines on filling 'Personal Details' section

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

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

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

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

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

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

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

1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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

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

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

F Clarification / Guidelines on filling 'Contact details' section

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

G Clarification / Guidelines on filling 'Related Person details' section

1 Provide KYC number of related person if available.

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

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

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

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

List of ISO 3166 two- digit Country Code

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

FORTUNE CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

FORTUNE CAPITAL SERVICES PVT. LTD.

Member : NSE & BSE

Regd. Office : No.905, First Floor, Soundarya Colony, (Syndicate Bank Colony), Anna Nagar West Extension, Chennai - 600 101.
Phone : 044 - 4560 9696 Email : ftc@ftconline.in Web : www.ftconline.in

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address

Important Instruction :

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

For office use only
(To be filled by financial institution)

Application Type * ☐ New ☐ Update

KYC Number *(Mandatory for KYC update request)*

☐ 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please refer instruction E at the end)

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

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T. Code* ISO 3166 Country Code*

☐ 2. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email ID) (Please refer instruction F at the end)

Tel. (Off) – Tel. (Res) – Mobile –
Fax – Email ID

3. APPLICANT DECLARATION

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

5 / 33

Date : DD – MM – YYYY Place :

Signature / Thumb Impression of Applicant

FORTUNE CAPITAL SERVICES PVT LTD
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Phone : 044 - 4560 9696 Email : ftc@ftconline.in Web : www.ftconline.in

Annexure B1

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

Important Instruction :

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

For office use only *(To be filled by financial institution)*

Application Type * ☐ New ☐ Update

KYC Number ______ *(Mandatory for KYC update request)*

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

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix ______ First Name ______ Middle name ______ last name ______

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

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please refer instruction H at the end)

☐ A - Passport Number ______ Passport Expiry date D D - M M - Y Y Y Y
☐ B - Voter ID card ______
☐ C - PAN card ______
☐ D - Driving Licence ______ Driving Licence Expiry Date D D - M M - Y Y Y Y
☐ E - UID (Aadhaar) ______
☐ F - NREGA Job card ______
☐ Z - Others (any document notified by the central government) ______ Identification Number ______
☐ S - Simplified Measures Account - Document Type code ______ Identification Number ______

2. APPLICANT DECLARATION

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

Date : D D - M M - Y Y Y Y Place : ______

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ **Certified Copies**

KYC VERIFICATION CARRIED OUT BY	
Date	D D - M M - Y Y Y Y
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

(Employee Signature)

INSTITUTION DETAILS

Name : FORTUNE CAPITAL SERVICES PVT. LTD.

Code :

[INSTITUTION STAMP]

FORTUNE CAPITAL SERVICES PVT LTD ALWAYS ON YOUR SIDE

TRADING ACCOUNT RELATED DETAILS

A. BANK DETAILS (Please attach separate sheet & documentary proof if more than two Bank accounts has to be registered)

Bank Name		Bank A/C Type	☐ Savings / ☐ Current / ☐ Others-in case Of NRI/NRE/NRO
Bank A/C Number*			
Bank Branch Address			
MICR		RTGS/NEFT/IFSC	

Bank Name		Bank A/C Type	☐ Savings / ☐ Current / ☐ Others-in case Of NRI/NRE/NRO
Bank A/C Number			
Bank Branch Address			
MICR		RTGS/NEFT/IFSC	

*Payment will be issued to the said Bank account by default unless & otherwise specified

B. DEPOSITORY ACCOUNT(S) DETAILS (Attach Client Documentary Proof for each Client ID)

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

C. TRADING PREFERENCES:

**Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.*

Exchanges	Name of the Segment	Signature
NSE	Capital Market (Cash)	☞ 6/33
NSE	Futures & Options (F&O)	☞ 7/33
NSE	Currency Derivatives (CDS)	☞ 8/33
BSE	Capital Market (Cash)	☞ 9/33
BSE	Futures & Options (F&O)	☞ 10/33
BSE	Currency Derivatives (CDS)	☞ 11/33

If, in future, the client wants to trade on any new segment / new exchange, separate authorization / letter should be taken from the client by the stock broker.

D. PAST ACTIONS :

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ....

....

SUB-BROKER- SRINATH.T.V
REFARAL CODE- RSS88
BANGALORE
M:8050313363

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E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS :

If client is dealing through the sub-broker, provide the following details :			
Sub Broker Name	**SEBI Registration No.**	**Registered Office Address**	**Phone / Fax Details**

Whether dealing with any other Stock Brokers/ Sub Brokers If Yes, give details (Please Provide details of all)			☐ Yes ☐ No
Stock Broker Name	**Sub Broker Name**	**Exchange**	**Client Code**
Details of disputes/dues pending from / to such stock broker/sub-broker :			

F. ADDITIONAL DETAILS :

Whether you wish to receive communication from Member in electronic form on your Email-id :	
☐ Yes ☐ No	{If Yes then please fill Authorisation for Electronic Contract Notes}
Whether you wish to avail of the facility of internet trading / wireless technology : (Please specify)	
☐ Yes ☐ No	

Wish to receive Copy of Standard Documents like Rights & Obligations, Uniform Risk Disclosure Documents, Guidance Note detailing Do's and Don'ts & Policies and Procedures	☐ Electronic ☐ Physical

OTHER DETAILS

1. Gross Annual Income Details (please specify) :

Income Range per annum :	☐ Below Rs.1 Lac ☐ Rs.1-5 Lac ☐ Rs.5-10 Lac ☐ Rs.10-25 Lac ☐ > Rs.25 Lacs **(OR)**
Networth as on (date) ________________ (Rs. ________________) (Net worth should not be older than 1 year)	
2. Occupation (Please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ House Wife ☐ Student ☐ Others (Specify ________________)
Name of Employer/ Establishment	
Designation	Period of Service :
Address (Office)	
Contact Details (Off.)	Phone: Fax: Email:
3. Please Tick, as Applicable	☐ Politically Exposed Person (PEP) / ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP) / ☐ Not Related to a Politically Exposed Person (PEP)
4. **Any other information**: ________________	

G. Investment /Trading Experience	No Prior Experience ☐	_____ years in Capital Market
	_____ Years in other Investment related field	

H. INTRODUCER DETAILS (Optional) :

Name of the Introducer	SRINATH.T.V CODE: RSS88
Status of the Introducer	☐ Authorized Person / ☐ Existing Client / ☐ Others, please specify:
Address of the Introducer	
Phone no. of the Introducer	8050313363
Signature of the Introducer	

I. NOMINATION DETAILS :

☐ I /WE WISH TO NOMINATE	☐ I /WE DO NOT WISH TO NOMINATE		
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		D.O.B. of Nominee	
Address & Phone No. of the Nominee			

IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN	
Name of Guardian	
Address & Phone No. of the Guardian	
Signature of the Guardian	

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

Name :.. Name :..

Signature :.. Signature :..

Address :.. Address :..

....

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 are aware that I/we may be held liable for it.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

12
33

Place : ______________________

Date : ______________ **Signature of Client**

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

For FORTUNE CAPITAL SERVICES PRIVATE LIMITED

Authorised Signatory

Date ………………….

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

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

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **<u>For individuals</u>**:
   a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.

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

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TARIFF SHEET TRADING ACCOUNT

I / we agree to pay the charges as per following charges structure for our Trading account with you effective _______________

Trading Client ID ________________

CHARGE HEAD	Brokerage / Charges
Equity Intraday	Rs.20/- per executed order or 0.01% of Turnover whichever is lower
Equity Delivery	Rs.20/- per executed order or 0.1% of Turnover whichever is lower
Futures	Rs.20/- per executed order or 0.01% of Turnover whichever is lower
Options	Rs.20/- per executed order
Currency Futures	Rs.20/- per executed order or 0.01% of Turnover whichever is lower
Currency Options	Rs.20/- per executed order
Terms & Conditions	Digital Contract sent through email at free of cost.

In addition to the brokerage charge the following charges will also be levied.

Schedule of Charges:

1) STT, Service Tax, Education and Higher Education Cess, as applicable will be levied.
2) Exchange & Clearing Member charges as applicable from to time.
3) Stamp Duty-state wise stamp duty as applicable will be levied
4) SEBI charges @ 0.0002% on total turnover.
5) Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,

Signature 13/33

Client Name ___________________________

Date __________________________________

VOLUNTARY ADDITIONAL TARIFF SHEET – TRADING ACCOUNT

In addition to the CHARGES mentioned in the Tariff Sheet, the following service charges will be levied , if the Services opted by the Client.

Please sign in the relevant boxes where you wish to opt the additional services and not chosen should be struck off by the client.

Trading Client ID ________________________

Other Services	Option Opted	Signature of the Client
In addition to Digital Contract, if the client requires Physical Contract Note shall be charged @ Rs.50/- per Exchange per Day.	Yes ☐ No ☐	14/33
Call & Trade /Offline Trade : **Equity Intraday, FAO & Currency Futures** – Rs.50/- per executed order or 0.01% of turnover whichever is lower. **Equity Delivery** - Rs.50/- per executed order or 0.1% of turnover whichever is lower. **Options (Future & Currency)** - Rs.20/- per executed order.	Yes ☐ No ☐	15/33
Payment Gateway facility is available and charges of Rs.10/- per transaction plus Service Tax irrespective of the amount transferred in single transaction	Yes ☐ No ☐	16/33
Other Levies (Clearing Member Charges & Other Charges):Will be Charged in Ledger CM Intraday- 0.00165% + Service Tax CM Delivery- 0.1% + Service Tax FAO Future - 0.0030% + Service Tax FAO Options - 0.03% + Service Tax CD Future - 0.00325% + Service Tax CD Options - 0.04% + Service Tax	Yes ☐ No ☐	17/33
SMS Charges - Rs.100/- per month	Yes ☐ No ☐	18/33
Debit my trading account for Application charges.	Physical Forms - Rs. 350/- ☐ Print the form from PDF - Rs. 300/- ☐	19/33

Signature 20/33

Client Name ____________________________

Date ___________________________________

FORTUNE CAPITAL SERVICES PVT LTD ALWAYS ON YOUR SIDE

TARIFF SHEET TRADING ACCOUNT

I / we agree to pay the charges as per following charges structure for our Trading account with you effective _______________

Trading Client ID _________________

CHARGE HEAD	Value Pack Scheme
Equity Intraday	Rs.______________________ Per Crore
Equity Delivery	Rs.______________________ Per Crore
Futures	Rs.______________________ Per Crore
Options	Rs.______________________ Per Lot
Currency Futures	Rs.______________________ Per Crore
Currency Options	Rs.______________________ Per Lot
Terms & Conditions	Digital Contract sent through email at free of cost.

In addition to the brokerage charge the following charges will also be levied.

Schedule of Charges:

1) STT, Service Tax, Education and Higher Education Cess, as applicable will be levied.
2) Exchange & Clearing Member charges as applicable from to time.
3) Stamp Duty-state wise stamp duty as applicable will be levied
4) SEBI charges @ 0.0002% on total turnover.
5) Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,

Signature 13 33

Client Name ____________________________

Date __________________________________

FORTUNE
CAPITAL SERVICES PVT LTD
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VOLUNTARY ADDITIONAL TARIFF SHEET – TRADING ACCOUNT

In addition to the CHARGES mentioned in the Tariff Sheet, the following service charges will be levied , if the Services opted by the Client.

Please sign in the relevant boxes where you wish to opt the additional services and not chosen should be struck off by the client.

Trading Client ID ________________________

Other Services	Option Opted	Signature of the Client
In addition to Digital Contract, if the client requires Physical Contract Note shall be charged @ Rs.50/- per Exchange per Day.	Yes ☐ No ☐	14/33
Call & Trade /Offline Trade : **Equity Intraday, FAO & Currency Futures** – Rs.50/- per executed order or 0.01% of turnover whichever is lower. **Equity Delivery** - Rs.50/- per executed order or 0.1% of turnover whichever is lower. **Options (Future & Currency)** - Rs.20/- per executed order.	Yes ☐ No ☐	15/33
Payment Gateway facility is available and charges of Rs.10/- per transaction plus Service Tax irrespective of the amount transferred in single transaction	Yes ☐ No ☐	16/33
Other Levies (Clearing Member Charges & Other Charges):Will be Charged in Ledger CM Intraday- 0.00165% + Service Tax CM Delivery- 0.1% + Service Tax FAO Future - 0.0030% + Service Tax FAO Options - 0.03% + Service Tax CD Future - 0.00325% + Service Tax CD Options - 0.04% + Service Tax	Yes ☐ No ☐	17/33
SMS Charges - Rs.100/- per month	Yes ☐ No ☐	18/33
Debit my trading account for Application charges.	Physical Forms - Rs. 350/- ☐ Print the form from PDF - Rs. 300/- ☐	19/33

Signature 20/33

Client Name ____________________________

Date ___________________________________

Letter of Authorization for Electronic Contract Notes

To
M/s. Fortune Capital Services Private Ltd.,
905, 1st Floor, Soundarya Colony,
Syndicate Bank Colony,
Annanagar West Extension,
Chennai - 600 101.

Dear Sir,

I / we are dealing through you as a client in Capital Market and / or F & O segment and / or Currency Segment and / or Interest Rate Future Segment, I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I / we understand that, I / we have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I / we hereby opt to receive contract notes in electronic form. I / we understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account / email id on your record for sending the contract notes to me / us.

____

(enter E-mail ID)

I / we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my / our email account / email id.

I / we agree not to hold you responsible for late / non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.,

I / we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me / us and such dispatch shall be deemed to mean receipt by me / us and shall not be disputed by me / us on account of any non receipt / delayed receipt for any reason whatsoever.

I / we understand that I am required to intimate any change in the email id / email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I / we am / are an internet client then in that event the request for change in email id / email account can be made by me / us though a secured access using client specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I / we shall be liable for all lossess, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Yours faithfully,

Signature ☞ 21 33

Client Name ___________________________

Date _________________________________

VOLUNTARY / NON MANDATORY RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS

These Voluntary / Non Mandatory Rights and Obligations enumerated below are in addition to the Mandatory Rights and Obligations of Stock Bokers, Sub – Brokers and Clients to ensure smooth functioning of the operations, the parties thereto have agreed to the following terms and conditions.

1. Digitally signed Contract Notes, Bills, Transaction Statements, Confirmation & Electronics Communication:

I) The client hereby agrees and permits FCSPL to provide digitally signed contract notes through internet / email. The client also authorizes FCSPL to send Welcome Kit, Statements of Account, Statement of Margin, Funds and Securities, Ledgers, Bills, Collateral Statements, Daily Margin Statements, reports, notices, circulars, letters and other documents pertaining to the Trading Account on email address. For the sake of clarity all of the above documents are refered to as "**Digital Documents**". The client acknowledges that once Digital Documents are mailed by FCSPL at their email address registered with it, it shall be deemed to have been received by the client and hence there will be no further requirement on the part of FCSPL to send the same physically in the paper based format to the client unless Digital Documents are rejected by the client's email ID and is bouncing back to FCSPL. The client hereby acknowledges that he has read and understood the following points governing issuance of the Digital Documents by FCSPL.

a) For the purpose of the above, the email id used would be the same as provided by the client in the Client Registration Form at the time of opening of an account or email id subsequently notified by the client in writing. Any change in the email id of the client shall be immediately intimated by the client to FCSPL.

b) The client shall access the contract notes / confirmations of the trades executed on his behalf on the trade date electronically. The client understands that it is his responsibility to review all confirmations, contract notes and other communications including but not limited to margin and maintenance calls etc., All information contained therein shall be binding on the client if the client does not object, either in writing or electronic mail within 24 hours after any such documents are available to the client.

c) Should the client experience any difficulty in opening a document electronically delivered by FCSPL, FCSPL may, on receipt of intimation from the client in that behalf, make the required delivery by any other electronic means (e-mail, electronic mail attachment or in the form of an available download from the back-office website) or in paper based format. Failure to advise FCSPL of such difficulty within twenty four (24) hours after delivery shall serve as an affirmation that client was able to receive and open the said document. The client hereby agrees to pay all such amounts that FCSPL may charge to cover the operational costs that FCSPL incurs in preparing and delivering the said communication, confirmation, contract notes, documents, reports and alerts.

d) The client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password. Unless the client lodges a complaint with FCSPL as to his inability to access the system, it would be presumed that contract notes and all other documents have been properly delivered to the client.

e) The client agrees that FCSPL fulfils its legal obligation to deliver to the client any such document if sent via electronic delivery and FCSPL has not received any report indicating bouncing back of such electronic delivery.

f) The client shall complete the necessary formalities that are required under the provisions of the Information Technology Act, 2000 for getting the above facility. The client shall initially download the specified software or any other software specified by FCSPL from time to time on our computer and the same shall be used for receiving, viewing, storing the Electronic documents including but not limited to digital contract notes, bills. Ledgers, statements of funds and securities, collateral statements, daily margin statements, notices, reports, lettes, circulars, communications etc., that shall be sent by FCSPL from time to time in respect of the trades / transactions that have been executed by me / us through FCSPL.

g) The client agrees not to receive the contract notes in paper form from FCSPL. Provided however that in case when FCSPL is not able to provide Contract Note to me / us through electronic medium due to any unforeseen events, FCSPL would ensure that the contract note is sent to me / us in physical form as per the time schedule stipulated in the bye-laws, Rules and Regulations of the Exchanges.

h) The client agrees that as an alternative to the e-mail communication and / or in case of non-receipt of the electronic documents through e-mail he / she / they shall utilize the facility of accessing the website hosted by FCSPL to access the Electronic documents.

II) Statement of Account in Digital Format:

FCSPL may send the Statement of Trading Account or other statements, related notices, circulars, amendments and records and documents by whatever name called (herein after referred to as **"statements"**) to the client in electronic form on their registered e-mail ID. The client agrees and permits FCSPL under the terms of this document to provide to the client, Statements through Internet (web based).

III) Copy of Client Registration Documents:

FCSPL may send the Client Registration documents vis., Account Opening Form, Mandatory and Voluntary Rights and Obligations, Risk Disclosure Document, Guidance Note, and a copy of any other document executed with the client (herein after referred to as **"Registration documents"**) to the client in electronic form. The client hereby agrees and permits FCSPL under the terms of this document to provide to the client, the Registration documents through Internet (web based).

IV) Terms governing issue of digitally signed Contrcat Notes / Statement(s) for Trading Account, Client Registration Documents, **Digital Documents** and other documents (herein after collectively referred to as **"the Documents"**) in electronic form to your mail ID

____

(enter E-mail ID)

a. The client undertakes to change the initial password of such e-mail account upon first login. The client shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of such e-mail accounts. FCSPL shall not be liable to or responsible for any breach of secrecy. Unless the client lodges a complaint with FCSPL as to his / her / its inability to access the system, it would be presumed that the documents have been properly delivered. The client agrees that the Documents may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.

b. The client agrees that FCSPL shall not be responsible for non-receipt of Documents sent via electronic delivery due to change in / incorrect email address provided by the Client for the purpose or for any other reason which inter alia include insufficient space in the inbox of the client, technical reasons or malfunction of the clients computer system / server / internet connection etc., It shall be the responsibility of the client to intimate FCSPL of any change in the client's email accounts.

c. FCSPL shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof and shall not be liable for any problem which arises at the client's computer network because of the client receiving any such statement from FCSPL.

d. FCSPL agrees that in case of receipt of bounced back notification from all the email account(s), FCSPL shall make required delivery by any other electronic means or available download from the back office website immediately thereafter. However the client agrees that FCSPL shall not take congnizance of out of office / out of station auto replies and the client shall be deemed to have received such electronic mails.

e. The client hereby agrees to intimate FCSPL of any change in E-mail ID immediately.

f. The client understands and agrees that FCSPL shall be entitled to charge to the client fees / charges for sending such Documents. Such fees and charges shall be intimated to the client from time to time by FCSPL.

g. The client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that as a result of such unreliability, there are risks associated in using such means of communication including the congestion, breakdown, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delay in the transmission and receipt of data and information.

h. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and / or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including client personal data. The client agrees that the stock broker shall not be liable / responsible for such matters and resultant losses under any circumstances.

22
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Signature of Client

2. **Order Placement Instructions:**

I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing / modifying / cancelling order. Even if I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting / calling / E-mailing the FCSPL in case of breakdown of internet connectivity or other similar reasons.

I hereby request you to kindly accept my, my authorized representative or mandate holder's verbal orders / instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN / Physical contract notes or trade confirmations through SMS and other modes. I indemnify FCSPL and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

3. **PMLA Declaration:**

I declare that I have read and understood the contents and the provisions of the PMLA Act 2002, which were also explained to me by FCSPL officials. I further declare that I shall adhere to all the provisions of PMLA Act 2002. I further undertake and confirm that;

I do not have any links with any known criminal.

I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

4. **Not to act as Un-registered Sub-broker:**

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. Incase, FCSPL perceives that I am acting as an unregistered sub-broker, FCSPL has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owned by me to FCSPL without the requirement of any notice from FCSPL. Further, FCSPL has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify FCSPL from any loss / damage / claim arising out of such activity.

5. **Indemnification:**

I hereby indemnify and hold FCSPL, its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to the FCSPL directly or indirectly, relating to bad delivery of shares / securities and / or third party delivery, whether authorized or unauthorized and fake / forged / stolen shares / securities / transfer documents introduced or that may be introduced by or through me during the course of my dealings / operations on the Exchanges and / or proof of address, identity and other supporting / documents provided by me at the time of registration and / or subsequently.

Indemnity of Joint Holdings:

I hereby agree to indemnify and hold the FCSPL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and / or expenses arising from transactions in securities held jointly by me with any other person or persons,if any.

6. **No Market Manipulation:**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronised trades, cross trades, self trades etc., or which could be termed as manipulative or fraudulent trades by SEBI / Exchanges. Incase, I am found to be indulging in such activities, FCSPL has every right to inform the Exchange / SEBI / other regulatory authority of the same and suspend / close my trading account.

7. **Not Debarred by any Regulator:**

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and / or Statutory authority to deal in securities directly or indirectly. I agree to inform FCSPL, in writing, of any regulatory action taken by any Exchange or Regulatory / Statutory authority on me in future. Incase, I fail to inform the same and FCSPL on its own comes to know of such action, FCSPL has the right to suspend / close my trading account and refuse to deal with me. Also, FCSPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

8. Errors & Ommissions:

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances FCSPL shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold FCSPL responsible beyond this and claim additional damages / loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by FCSPL.

9. Mutual Fund Service System (MFSS) Facility:

I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that Know Your Client details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I / we further confirm that the details contained in same remain unchanged as on date.

I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by SEBI and AMFI.

I shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe / redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

☞ 23/33

Signature of Client

SETTLEMENT OF FUNDS & SECURITIES

REF: Circular Ref. No.: 169/2013 & Download Ref. No.: NSE/INSP/24849 issued by NSE on October 29, 2013 regarding quarterly / monthly settlement of running accounts of clients.

I am aware that the Member may retain additional margin requirement of maximum upto 125 % of margin requirement on the day of settlement to take care of any margin obligation arising in next 5 days for my open positions .

By considering the administrative / operational difficulties in settling the accounts for regular trading clients, I request you to kindly **retain an amount of up to Rs 10,000/- while settling the account.**

☞ 24/33

Signature of Client

Client Name :

Date :

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

Maintenance of Running A/c.- Letter of Authority

To

M/s. Fortune Capital Services Private Ltd.,
905, 1st Floor, Soundarya Colony,
Syndicate Bank Colony,
Annanagar West Extension,
Chennai - 600 101.

Dear Sir,

I / we are dealing through you as a client in Capital Market and / or F & O segment and / or Currency Segment and / or Interest Rate Future Segment and in order to facilitate ease of operations and upfront requirement of margin for trade. I / we authorize you as under:

I / we request you to maintain running balance in my account and retain the credit balance in any of my / our account and to use the unused funds towards my / our margin pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing Corporation unless I / we instruct you otherwise

I / we request you to retain securities with you for my / our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing Corporation, unless I / we requested you to transfer the same to my / our account.

I / we further authorize FCSPL to settle the funds and securities atleast once in a calendar quarter / month as specified by me below in accordance with regulations in force.

Quarterly ☐ **Monthly** ☐

In case I / we have an outstanding obligation on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.

I / we agree to continue with the authorization to maintain a running account till such time the same is expressly revoked. I / we understand that FCSPL shall act upon such revocation request upon receipt of the original revocation request .

Yours faithfully,

Signature ☞ 25/33

Client Name ___________________________

Date _________________________

MOBILE DECLARATION

Declaration for Mobile Number

I ____ having PAN No. ____________________________________ do hereby declare that my mobile No. is _____________________________________. Further I authorize FCSPL that the same may be used for giving me any information / alerts / Trade Communications/ Margin Calls/ SMS etc.,

I further declare the above mentioned statement is true and correct.

Signature 26 33

Client Name ___________________________

CLIENT DEFAULTER DECLARATION

I ____ having PAN No. _____________________________________ do hereby declare

that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI / Exchanges / Regulatory bodies etc.,

I further declare that the above mentioned declaration / statement is true and correct.

Signature 27 33

Client Name ___________________________

LIEN & SET – OFF

To,

Fortune Capital Services Pvt. Ltd., (Member – National Stock Exchange of India Ltd., (NSE) &
(Member – Bombay Stock Exchange Ltd., (BSE)
Fortune Trading Corporation (Member – Multi Commodity Exchange of India Ltd., (MCX)

Dear Sir,

I / we ____ an individual / a sole proprietory concern / a partnership firm / a body corporate / trust – Regd. / incorporated, under the provisions of the Indian Partnership Act, 1932 the Companies Act, 1956 or any relevant Act, having my / our residence / registered office at ____ ____ (herein after referred to as the "Client".

That I / we, am / are a client of Fortune Capital Services Pvt. Ltd., (FCSPL) and / or Fortune Trading Corporation (FTC) – (jointly referred to as Fortune) for investing / trading in securities and / or commodities admitted / permitted for dealing on the respective Exchanges and also for investing / trading in those contracts admitted / permitted for dealing on the Derivatives Market segment of the respective Exchanges.

That in respect to the aforestated agreements, I / we hereby authorize Fortune to exercise the right to set off the balances in my / our accounts with Fortune in any segment / exchange with respect to monies, securities and commodities. All monies, securities or other property which Fortune may hold on my / our account, shall be held subject to a general lien for the discharge of my / our obligations to Fortune under these agreements. The right of lien and set-off conferred to Fortune by me / us are as follows:

- All securities in the demat account opened (if any) with the Depository Participant (namely IL&FS Securities Services Ltd.,) shall be subject to lien for the discharge of any or all payments due to Fortune from me / us or any other obligations to Fortune and may be held by Fortune as a security against default by me / us in respect of the services already availed of by me / us from Fortune.
- The enforcement of the lien aforementioned shall be at the sole and complete discretion of Fortune.
- I / we agree that Fortune shall have the right of set-off amongst all trading account(s) maintained by me / us with Fortune.
- The right of set-off as aforesaid shall extend to my / our trading accounts with respect to all broking transactions with associated concerns, affiliates or sister concerns of Fortune as though such accounts are maintained with Fortune.

Furthermore, the aforestated lien / set-off conferred on Fortune shall subsist even after the termination of the aforestated Member – Client agreements with Fortune until all obligations under the said agreements are satisfied fully by me / us. The said right of lien / set-off shall be exercised by Fortune jointly and / or severally by each of the aforestated companies.

Signature 28 33

Client Name ___________________________

Address : ____

SELF DECLARATION DERIVATIVES TRADING (VOLUNTARY)

(To be filed if Documentary Evidence is not furnished by clients trading in Capital / Derivatives Market Segment)

From:

Mr./Mrs./Ms: Date:________________

To

M/s. Fortune Capital Services Private Ltd.,
905, 1st Floor, Soundarya Colony,
Syndicate Bank Colony,
Annanagar West Extension,
Chennai - 600 101.

Dear Sir/Madam,

Sub: Self-Declaration on Income and Net-Worth furnished pursuant clause 47 of MCA.
Ref: Application No. / Client Code:__________________________ submitted for registration for trading and investments.

With reference to the above document submitted, I do hereby declare and affirm the following.

1. I have been allotted the PAN:______________________________, a self-attested copy of which has been submitted to you as one of the mandatory KYC documents.

2. For the Financial Year ending 31st March _____________, my Annual Income was approximately Rs. ____________ for which, except this Self-declaration Letter, no other documentary proof is provided to you.

3. As on date ____________, my net-worth is approximately Rs. ____________ for which, except this Self-declaration Letter, no other documentary proof is provided to you.

4. I further declare that the transactions I am entering into with you in the above trading account is commensurate with my Income and Net Worth and I am fully aware of risks associated with these transactions.

5. The ownership and risk of justification and substantiating regarding the above declaration with any of the Statutory Authorities/ Agencies will be my Own.

Signature 29 33

Client Name ______________________________________

Date : __________________

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

FORTUNE CAPITAL SERVICES PVT LTD.

(Member of NSE & BSE)

Regd. Office : No.905, First Floor, Soundarya Colony, (Syndicate Bank Colony), Anna Nagar West Extension, Chennai - 600 101. Ph. : 044 - 4560 9696 Email : ftc@ftconline.in Web : ftconline.in

RULES & REGULATIONS

1. Please maintain secrecy of your User Name and Password and never Share your Login Credentials / User Name and Password with anyone.
2. All Bank Accounts from which the client will issue cheques should be registered with FORTUNE CAPITAL SERVICES PVT LTD. Third party cheques will not be accepted at any cost.
3. Fortune Capital Services Pvt Ltd will not accept any cash from its clients and will not pay by cash to its clients. Clients are strictly advised not to do any cash transactions with any of the sub brokers / staffs /associates of Fortune Capital Services Pvt Ltd. Fortune Capital Services Pvt Ltd will not be responsible for any cash transactions.
4. Fortune Capital Services Pvt Ltd does not do any portfolio type of trading. Clients are advised not do any such activity with any of our sub brokers / associates / staffs.
5. Fortune Capital Services Pvt Ltd will not give any third party cheques at any cost and the cheques will be issued only from the Fortune Capital Services Pvt Ltd Bank account.
6. Kindly check the emails on a daily basis. We send all your contract notes, Daily Activity Reports, Long short Positions, Ledgers on a daily basis to your email id. Discrepancies if any, should be brought to our knowledge immediately. Incase of disputes if any, please write to us at ftc@ftconline.in
7. Daily the clients will be sent a SMS from Fortune Capital Services Pvt Ltd with all the account details, Trade confirmations and their pending positions.
8. Delayed payment charges @ 2% per month on account of delay / failure by the client in meeting the pay-in / margin obligations / mark to market obligations on the scheduled date till date of payment. Not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.
9. The above levy is only a penal measure incase of a client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.
10. We are not a dealer and not selling any automated software, charts, technical analysis softwares etc., to our clients for placing orders / trading purposes. Fortune neither have arrangements nor tied up with any vendor for selling any kind of automated software, technical analysis softwares etc., to our clients.

DECLARATION

I...have read and understood all the terms and conditions of Fortune Capital Services Pvt Ltd mentioned in the Account Opening Form. I also read and understood the rules and regulations of FORTUNE CAPITAL SERVICES PVT LTD mentioned above and I will abide the same. I Further state and confirm that I have read & understood all the clauses of Risk Disclosure Document - RDD and Rights & Obligations. I will do all the trading on my own and I will not allow anyone else to do the trading on my behalf. I ensure you that I will not do any Portfolio Business through any associates of FORTUNE CAPITAL SERVICES PVT LTD. We are aware that Fortune Capital Services Pvt Ltd will not accept Cash, Un-mapped Bank account and / or Third Party Cheques from their clients. We are completely aware that Fortune Capital Services Pvt Ltd not selling any automated software, charts, technical analysis software etc., to their clients. I have been made understood by Fortune Capital Services Pvt Ltd that Fortune Capital Services Pvt Ltd will not be held responsible for all mis happenings, if I do not follow the Rules & Regulations.

☞ 30 / 33

Signature of Client

Place : ....

Name : ....

Date : ....

Client Code : ....

SELF DECLARATION FORM – ANNEXURE TO ACCOUNT OPENING FORM FOR INDIVIDUALS

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

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.

Client Code : ____

Category	Client
Name	
Maiden Name [if any]	
Father's Name [mandatory if PAN not provided]	
Spouse's Name	
Gender	☐ Male ☐ Female ☐ Others ☐ Transgender
Nationality	☐ Indian ☐ Other ______________ (Please specify the name of country) :
Occupation Type	☐ **Service [pls specify]** ☐ - Private Sector ☐ - Public Sector ☐ - Govt. Sector ☐ **Business** ☐ **Others [pls specify]** ☐ - Professional ☐ - Self Employed ☐ - Retired ☐ - Housewife ☐ - Student ☐ **Not Categorized**
PAN	
Place / City of Birth	
Country of Birth	
Marital Status	☐ Married ☐ Unmarried ☐ Others

Address Type [for address mentioned in the account opening form]	☐ Residential Or Business ☐ Residential ☐ Business	☐ Registered Office ☐ Unspecified

Country/countries of tax residency	Tax Identification Number (TIN)/functional equivalent number	TIN / functional equivalent Issuing Country	Documents provided (copy of certificate of tax residence or copy of TIN or others)	Date upto which the documentary evidence is valid

Remarks if any : ____

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

Related Person Type
☐ Guardian of Minor
☐ Nominee
☐ Assignee
☐ Authorised Representative
☐ Beneficial Owner
☐ Beneficiary

Name of the Related Person : ______________________________

Document submitted as proof
of identity of the related person : ______________________________
*[refer below for the type of
document to be submitted]

* Certified copy of any one of the following Proof of Identity needs to be submitted :
A. Passport Number B. Voter ID Card C. PAN Card D. Driving License E. UID [Aadhar] F. NRGEA Job Card
G. Other [any documents notified by Central Government]

Declaration and Undertakings

The Customer/account holder certifies that:

a. 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.
b. 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.
c. 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.
d. 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.
e. 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 responsibility / 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.

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33

Signature of Client

Name : ______________________________

Date : ____________________ Place : ____________________

ACKNOWLEDGEMENT

To

M/s. Fortune Capital Services Private Ltd.,
No. 905, First Floor, Soundarya Colony,
(Syndicate Bank Colony)
Anna Nagar West Extn., Chennai - 600 101

Dear Sir,

This is to acknowledge the receipt of following documents.
I further state and confirm that I have read and understood all the clauses of aforesaid document.
I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Fortune Capital Services Pvt. Ltd.,

Sl. No.	Brief Significance of the Document
1	Rights & Obligations
2	Risk Disclosure Document (RDD)
3	Guidance Note Do's and Don't for trading on the Exchange(s) for Investors
4	Policies and Procedures Document pursuant to the SEBI Circular Dt.3.12.2009
5	Duly executed copy of KYC & Tariff Sheet
6	Voluntary Documents executed with the Trading Member

I have executed the Voluntary documents without any compulsion and I read, understood the same. The above documents are binding on me.

Yours faithfully,

Client Signature : ☞ 32 33

Name of the Applicant : ___________________________________

Date:

AUTHORIZATION FOR ACCOUNT MODIFICATION REQUESTS

I / We hereby authorize you to carry out any addition, modification and/or removal of my details like Mobile No & E-mail ID without supporting documents and Bank Details, DP Details, Address Details with supporting documents duly self attested including brokerage plan changes sent through my Registered Mail ID with you to your Mail ID KYCCHANGES@FTCONLINE.IN and/or FORMS@FTCONLINE.IN or intimation through an interface provided by you, whereto I have been allowed secured access.

Signature: ☞ 33 33

FORTUNE
CAPITAL SERVICES PVT LTD
ALWAYS ON YOUR SIDE

VOLUNTARY SETTLEMENT OF FUNDS & SECURITIES

I am aware that the actual settlement of funds and securities shall be done by the Member, at least once in a **calendar quarter or month, depending on the preference opted by us in the Account Opening Form.**

I hereby authorise FCSPL to buy Liquid Bees for the Credit lying in my trading account at prevailing market price from the market at the time of Settlement due date and can sell the same on the next day at available market price.

I am aware that Investment in Equity / Derivatives / Currency is subject to market risk and I will not hold FCSPL responsible for loss if any arising from the transaction.

Signature ☞

Client Name ___________________________

Date : ___________________________

Date : ________________

From

____

____

____

____

To,

M/s. Fortune Capital Services Private Ltd.,
No. 905, First Floor, Soundarya Colony,
(Syndicate Bank Colony)
Anna Nagar West Extn., Chennai - 600 101

Dear Sir,

SUB : Transferring shares to Margin Account purchased through you.

REF : Trading Code ________________________

With reference to the above, I hereby request you to kindly transfer and hold the shares purchased by me in **your Margin Account 1208030000000049 and / or 1208030000000053** as margin. I request you to kindly consider the stocks as Margin and provide the exposure for trading as per your RMS Policy / Company Norms till the settlement (quarterly or monthly) of transfer is due as opted by me. I will not hold you responsible for any benefits announced by the companies during such period and liquidation for debit in the trading account. I request you to kindly consider my request and please do the needful and confirm.

Thanking You

Yours faithfully,

Signature

Client Name : ____

Date : _______________

From,

____

____

____

____

To,

M/s. **Fortune Capital Services Private Ltd.,**
No. 905, First Floor, Soundarya Colony,
(Syndicate Bank Colony)
Anna Nagar West Extn., Chennai - 600 101

SUB: Mapping of Client Code _______________________ to USER ID __________________________

Dear Sir,

With reference to the above, I request you to kindly map my Client ID ______________________________ to USER ID's ___________________________________ for my operational convenience. As I am travelling a lot, I can place the order with the above USER ID while on travel and also facing connectivity issues. I am fully aware of the risks associated with the mapping of my client ID with the above said USER ID and I confirm that all my orders routed through the above USER ID are placed by myself and with my knowledge only. I am aware that Fortune Capital Services Private Ltd. is not liable for any unauthorised trading happens in the above said User ID, since I am requesting to map my client ID to the above said USER ID for my trading convenience. I am fully aware that the above USER is not connected with the Voice Recording System and I assure that I will not blame Fortune Capital Services Private Ltd. for any loss arises for the orders placed in the above said USER ID as I have been provided with SMS confirmation of all the trades done in my account immediately and Contract Note on Daily basis for all the trades. Hence I request you to kindly map the client ID with the above USER ID and confirm.

Thanking You,

Yours faithfully,

☞

Signature of Client

Name : ____________________________________

CHECK LIST

Sl. No.	Details	Checked By	Checked By	Checked By
1.	Signature across Photograph			
2.	Signature in 33 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		
MB / MF		
RM NAME (DIRECT)		
RM NAME (INDIRECT)		

Data Entered in System by	
Name :	Signature :