

KNOW YOUR CLIENT (KYC) Application Form - For Individuals

NEW CHANGE REQUEST (Please tick ✓ the appropriate)

Acknowledgement No. _____



Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTION** is required and provide the details in the corresponding row)

A IDENTITY DETAILS

<input type="checkbox"/>	1. Name of the Applicant	_____
<input type="checkbox"/>	2. Father's/Spouse Name	_____
<input type="checkbox"/>	3a. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	3b. Marital status <input type="checkbox"/> Single <input type="checkbox"/> Married
<input type="checkbox"/>	4a. Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify) _____	3c. Date of Birth D D / M M / Y Y Y Y
<input type="checkbox"/>	4b. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
<input type="checkbox"/>	5a. PAN	_____
<input type="checkbox"/>	5b. Unique Identification Number (UID) / Aadhaar, if any:	_____
<input type="checkbox"/>	6. Specify Proof of Identity submitted <input type="checkbox"/> PAN card <input type="checkbox"/> Other (Please specify) _____	

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B ADDRESS DETAILS

<input type="checkbox"/>	1. Residence / Correspondence Address	_____
	City / Town / Village	_____
	State	_____
	Country	_____
	Pin Code	_____
<input type="checkbox"/>	2. Specify the Proof of Address submitted for Residence / Correspondence Address:	_____
<input type="checkbox"/>	3. Contact Details	
	Tel. (Off.)	_____
	Tel. (Res.)	_____
	E-Mail Id.	_____
	Fax	_____
	Mobile No	_____
<input type="checkbox"/>	4. Permanent Address (If different from above or overseas address, mandatory for Non-Resident Applicant)	
	City / Town / Village	_____
	State	_____
	Country	_____
	Pin Code	_____

C 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 |



Signature of the Applicant

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: _____

Date of IPV: | D | D | / | M | M | / | Y | Y | Y | Y |

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

Originals Verified and Self Attested Document copies received

Date

Signature of the Authorised Signatory

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorised to deal in securities on behalf of company/firm/others.
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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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/Unique Identification Number (UID)/ Aadhar Letter/Registered lease or Sale Agreement of Residence/Driving License/ Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorised 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, authorised officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Partnership firm	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners.
Trust	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
HUF	<input type="checkbox"/> PAN of HUF. <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Army/ Government Bodies	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Registered Society	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

KNOW YOUR CLIENT (KYC) Application Form - For Non Individuals

NEW CHANGE REQUEST (Please tick ✓ the appropriate)

Acknowledgement No. _____



Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTION** is required and provide the details in the corresponding row)

A

IDENTITY DETAILS

1. Name of the Applicant _____

2a. Date of incorporation / / 2b. Place of incorporation _____

3. Date of commencement of business / /

4a. PAN _____

4b. Registration No. (e.g. CIN) _____

5. Status (Please tick ✓ the appropriate)

- | | | | | |
|--|--|--|--|--|
| <input type="checkbox"/> Private Limited Co. | <input type="checkbox"/> Public Ltd. Co. | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Charities | <input type="checkbox"/> NGO's | <input type="checkbox"/> FI | <input type="checkbox"/> FII | <input type="checkbox"/> HUF |
| <input type="checkbox"/> AOP | <input type="checkbox"/> Bank | <input type="checkbox"/> Government Body | <input type="checkbox"/> Non-Government Organization | <input type="checkbox"/> Defense Establishment |
| <input type="checkbox"/> BOI | <input type="checkbox"/> Society | <input type="checkbox"/> LLP | <input type="checkbox"/> FPI - Category I | <input type="checkbox"/> FPI - Category II |
| <input type="checkbox"/> FPI - Category III | <input type="checkbox"/> Others (Please specify) _____ | | | |

B

ADDRESS DETAILS

1. Address for Correspondence _____

 City / Town / Village _____ Pin Code _____
 State _____ Country _____

2. Specify the Proof of Address submitted for Correspondence Address: _____

3. Contact Details

Tel. (Off.) _____	Fax _____
Tel. (Res.) _____	Mobile No _____
E-Mail Id. _____	

4. Registered Address (If different from above) _____

 City / Town / Village _____ Pin Code _____
 State _____ Country _____

C

OTHER DETAILS (If space is insufficient, enclose these details separately [Illustrative format enclosed])

1. Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: _____

2a. DIN of whole time directors : _____

2b. Aadhar number of Promoters/Partners/Karta : _____

D

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.

Date: / /

Name & Signature of the Authorised Signatory _____

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: _____

Date of IPV: / /

Signature of the person who has done the IPV _____

Seal/Stamp of the Intermediary _____

Originals Verified and Self Attested Document copies received

_____ Date

_____ Signature of the Authorised Signatory

1. Name <input style="width: 95%;" type="text"/>	PHOTOGRAPH Please affix your recent passport size photograph and sign across it
2. Relationship with Applicant <i>(i.e. promoters, whole time directors etc.)</i> <input style="width: 95%;" type="text"/>	
3a. PAN <input style="width: 25%;" type="text"/> 3b. DIN <input style="width: 25%;" type="text"/>	
3c. Aadhar (UID) Number <input style="width: 95%;" type="text"/>	
4. Residential/ Registered Address	
<input style="width: 95%; height: 15px;" type="text"/> <input style="width: 95%; height: 15px;" type="text"/>	
<input style="width: 45%; height: 15px;" type="text"/> City / Town / Village <input style="width: 45%; height: 15px;" type="text"/> State	<input style="width: 20%; height: 15px;" type="text"/> Country <input style="width: 20%; height: 15px;" type="text"/> Pin Code

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

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- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
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- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.
- In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

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

Types of entity	Documentary requirements
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Partnership firm	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners.
Trust	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
HUF	<input type="checkbox"/> PAN of HUF. <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Army/ Government Bodies	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Registered Society	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

S. No.

FCSL

FRONTLINE

REGISTRATION KIT

- INDIVIDUAL
- HUF
- CORPORATE
- PARTNERSHIP FIRM

Frontline Capital Services Ltd.

Member : NSE & BSE

Branch Head / Sub-broker Name :

Client Name :

Client Code :

Date of Registration :

FCSL

FRONTLINE

Frontline Capital Services Ltd.

Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Ltd.

SEBI Registration Numbers :

NSE (CM) : INB 230792430 • Dated : 06-10-1995

NSE (F&O) : INF 230792430 • Dated : 02-06-2000

NSE (CDS) : INE 230792430 • Dated : 22-05-2009

BSE (CM) : INB 010792431 • Dated : 03-09-2010

BSE (F&O) : INF 010792431 • Dated : 03-09-2010

Portfolio Manager : INP000003690 • Dated : 02-06-2010

Corporate Office : B-22, Sector-4, Noida (UP)-201301

Regd. Off : M-6, 2nd Floor, M-Block Market, GK-II, New Delhi-110048

Tel No.: 0120-2534066 to 068, Fax : 0120-2534111

Email : fcsl@fsltechnologies.com • Web Site : www.fcslindia.com

Compliance Officer

LALIT PANT

Ph.: 0120-2534066-68

Email : fcsl@fsltechnologies.com

CEO Detail

ANIRUDH KUMAR JAIN

Ph.: 0120-2534066-68

Email : fcsl@fsltechnologies.com

For any grievance/dispute please contact **FRONTLINE CAPITAL SERVICES LTD.** at the above address or email id-fcsl_grievances@fsltechnologies.com and Phone No. +91-120-2534066. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in and Phone No. +91-22-26598190, (BSE) is@bseindia.com and Phone No. +91-22-22728097.

ANNEXURE - 1
ACCOUNT OPENING KIT

Mandatory

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-4
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	5-8
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Given to Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	9-10
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	11

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
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2.	Running Account Authorisation	Letter where in Client Authorises Stock Broker to maintain running account.	13
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DOCKET A

MANDATORY DOCUMENTS

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

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

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.

1. 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.
2. Demat master or recent holding statement issued by DP bearing name of the client.
3. For individuals:
 - 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.
4. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

ANNEXURE - 2

KNOW YOUR CLIENT (KYC) APPLICATION FOR INDIVIDUALS

Note: The information to be given in the form, is the sole property of **FRONTLINE CAPITAL SERVICES LTD.** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

Please affix
your recent
passport size
photograph
duly signed
across

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

Name of the Applicant : _____
Father's/Spouse Name : _____
Gender : Male Female Marital Status : Single Married
Date of Birth : ____/____/____ Nationality : _____
Status : Resident Individual Non Resident Foreign National
Permanent Account Number (PAN) : _____
Unique Identification Number (UID) / Aadhaar, if any : _____
Specify the proof of identity submitted : _____

B. ADDRESS DETAILS

Correspondence Address : _____
City/Town/Village : _____ State : _____
Country: _____ Pin Code : _____
Contact Details : Tel.: (O) _____ Tel. (R) _____
Mobile _____ Fax _____
E-mail _____
Specify the proof of address submitted for correspondence address : _____
Permanent Address : _____
(If different from above or overseas address, mandatory for Non-Resident Applicant)
City/Town/Village : _____ State : _____
Country: _____ Pin Code : _____
Specify the proof of address submitted for Permanent address : _____

C. OTHER DETAILS

Gross Annual Income Details : Income Range per annum : Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
(please specify) Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac >25 Lac OR

Net-worth as on (date)..... ()
(Net worth should not be older than 1 year)

Occupation : Private Sector Public Sector Government Service Business Professional
(please tick any one and give brief details) Agriculturist Retired Housewife Student Others _____

Please tick, if applicable : Politically Exposed Person (PEP) Related to Politically Exposed Person (PEP)

Any other information : _____

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.



Signature of the Applicant

Date : _____(dd/mm/yyyy)

FOR OFFICE USE ONLY

(Originals verified) True Copies of documents received (Self-Attested) Self Certified Document copies received

Signature of the Authorized Signatory

Date :

Seal/Stamp of the Intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FOR NON-INDIVIDUALS

Note: The information to be given in the form, is the sole property of **FRONTLINE CAPITAL SERVICES LTD.** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

Please affix
your recent
passport size
photograph
duly signed
across

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

Name of the Applicant :

Date of incorporation :

Place of incorporation :

Date of commencement of business :

Permanent Account Number (PAN) :

Registration No. (e.g. CIN) :

Status (Please tick any one) : Private Limited Co. Public Ltd. Co. Body Corporate Partnership Trust Charities
 NGO's FI FII HUF AOP Bank Govt. Body Non-Govt. Organization
 Defense Establishment BOI Society LLP Others _____

B. ADDRESS DETAILS

Correspondence Address

City/Town/Village : State :

Country: Pin Code :

Contact Details

Tel.: (O) Tel. (R)

Mobile Fax

E-mail

Specify the proof of address submitted for correspondence address

Registered Address
(If different from above)

City/Town/Village : State :

Country: Pin Code :

Specify the proof of address submitted for Registered address

ANNEXURE - 3

TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-Individuals)

A. BANK ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

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.

Stock Exchange	Market Segment/s
<input type="checkbox"/> NSE <input type="text"/>	<input type="checkbox"/> Cash <input type="text"/> <input type="checkbox"/> F&O <input type="text"/> <input type="checkbox"/> Currency Derivative <input type="text"/>
<input type="checkbox"/> BSE <input type="text"/>	<input type="checkbox"/> Cash <input type="text"/> <input type="checkbox"/> F&O <input type="text"/>

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 :

E. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name : _____

SEBI Registration number : _____

Registered office address : _____

Ph : _____ Fax : _____ Website : _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker : _____

Name of Sub-Broker, if any : _____

Client Code : _____ Exchange : _____

Details of disputes/dues pending from/to such stock broker/sub-broker : _____

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Specify your Email id, if applicable : _____

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

Number of years of Investment/Trading Experience : _____

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:



Name _____

Designation _____

PAN _____

UID _____

Residential Address _____

Signature _____

Name _____

Designation _____

PAN _____

UID _____

Residential Address _____

Signature _____

Any other information : _____

G. INTRODUCER DETAILS (optional)

Name of the introducer : _____
(Surname) (Name) (Middle Name)

Status of the Introducer : Sub Broker Remisier Auth. Person Existing Client Others _____

Address and Phone No. of the Introducer : _____

_____ Sign. of the Introducer _____

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of the Nominee : _____

Relationship with the Nominee : _____

PAN of Nominee : _____ Date of Birth of Nominee : _____

Address and Ph. No. of the Nominee : _____

If Nominee is a minor, details of guardian :

Name of the Guardian : _____

Address and Ph. No. of Guardian : _____

Sign. of Guardian _____

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

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

 _____
Signature of Client / All Authorized Signatory (ies)

Place _____

Date _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document 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 **Frontline Capital Services Ltd.**

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

1. Refusal of orders for penny stocks:

Stock broker is advising to the clients be cautious or not to deal in penny securities and if client deals with the penny stocks, 100% margin will/ may be taken from the client and these shares will/ may not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / Exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

2. Setting Up Client's Exposure Limits:

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.). The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode. The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

3. Applicable Brokerage Rate

a. For Cash Market Segment:

The maximum brokerage chargeable in relation to trades affected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/ purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

b. For Option contracts:

Brokerage for option contracts would not exceed Rs.100/- per lot single side or such other rates as provided by the exchanges.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money. All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be covered by the Stock Broker directly from the client's account.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/ margin obligation)

- a. If payment/securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account.
- b. In case of benefit of margin will be given only after realization of instrument.
- c. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason before the close of market.
- d. The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/ liquidate all open positions/ securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier similarly all transactions outstanding under limit by whatsoever name called may be closed out at specified time if not squared off by the client.

- e. In case open position (Le. short/long) gets converted into delivery due to non square Off because of any reason whatsoever, the client agrees to provide securities/funds To fulfill the payin obligation failing which the client will have to face auctions or Internal lose outs; in addition to this the client will have to pay penalties and charges Levied by exchange in actual and losses, if any.
- f. Any reference in these terms to sale or transfer of securities by the Stock Broker shall be deemed to include sale of the securities which form part of the Margin maintained by the Client with the Stock Broker.

6. Shortages in obligations arising out of internal netting of trades.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

- a. For non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
- b. Any order which is executed without the required Margin in the Client's account or the broker's exposure is more than 90% and above so no fresh trade will be taken.
- c. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, the stock broker reserves the right to square off positions.
- d. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
- e. The stock broker is entitled to disable / freeze the account or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request.

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action equiring client suspension.

9. Deregistering a client

A client is at liberty to deregister himself / itself from the member. For that purpose client will be liable first to settle his account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. And in case of surplus arising out after netting of account, client shall be entitled to receipt of the same.

The member shall also have power to deregister the client after settling his account at its sole discretion.

For and On Behalf of Constituent

Name : _____

 3

Client Signature

BROKERAGE & STATUTORY CHARGES

To,

Frontline Capital Services Ltd.

Dated : _____

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Subject : Brokerage Slab

Dear Sir,

Please make a note of Brokerage slab of the following client for branch concept :

Name of Client :			Client Code :		
B R O K E R A G E					
N S E / B S E			F & O N S E / B S E		
Jobbing %	Minimum Paisa	Delivery %	Minimum Paisa	F & O Brok. % (NSE/BSE)	F & O Min. Paisa Brok. (NSE/BSE)

1. OPTION BROKERAGE : Rs. 100 or 1.5% on the option premium amount whichever is higher as per contract.
2. Additional charges @0.01% in Cash Market & 0.005% in Derivative Segment.

Kindly do the needful

Accepted and Confirmed

Thanking you

Yours faithfully,

For.....

(Signature of Broker / Authorised Person with Stamp)

 4

Client Signature

Note :

1. The Transaction Charges, Service Tax and Stamp Duty are payable in addition to the brokerage as applicable from time to time.
2. Please note the rules and regulation of NSE/BSE as amended from time to time will be applicable for all transaction done on NSE/BSE.
3. Margin required 35-40% approx /or as per stock exchange/SEBI applicable from time to time. In present environment in some scripts margins are applicable even at 90-95%

DISCLOSURE INFORMATION

To,

Sir,

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd. (NSE)/ Bombay Stock Exchange Ltd. (BSE).

Thanks and best regards.

For **Frontline Capital Services Ltd.**

Authorised Signatory/ Director

I acknowledge the receipt of information given above by Frontline Capital Services Ltd. that they do Client base trading and Pro-account trading.

 5

Client Signature

Client Name : _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

DOCKET B

VOLUNTARY DOCUMENTS

NSE - MFSS & BSE STAR MF FACILITY (For Mutual Fund Investment)

To,

Date :

Frontline Capital Services Ltd.

Member : NSE & BSE

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Sir,

Sub : Mutual Fund Service System (MFSS) and BSE STAR MF

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market Segment of National Stock Exchange of India Ltd. (Exchange) and Bombay Stock Exchange Ltd.

I/We am/are interested in availing the MFSS & BSE STAR MF 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 & BSE STAR MF.

For the purpose of availing the MFSS & BSE STAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS, & BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November, 2009 and as may be specified by the Exchange from time to time in this regard.


I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/We therefore request you to register me/us as your client for participating in the MFSS & BSE STAR MF.

Thanking you,

Yours faithfully,

 _____

Client Signature

Client Name : _____

STANDING INSTRUCTIONS

To,

Date :

Frontline Capital Services Ltd.

Member : NSE & BSE

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

This is with reference to my/our trading account with you. I/we wish to place following standing instructions for operation of my/our accounts

- 1) I/we understand that you require written instructions for receiving/modifying or canceling orders. However, since it is not practical to give written instruction for every order, I/we hereby authorize you to kindly accept my/ our authorized representatives'. Verbal instructions/order over phone and execute the same.
- 2) Since you are issuing contract note bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the NEAT system, unless otherwise requested by me/us in writing.
- 3) I/We understand that you wish to transfer securities and funds payout to me within 24 hours of exchange payout, but since, I/We deal on regular basis with you, you are hereby authorized and requested to keep the funds and securities payout with you for margin compliance and future trading obligations. The funds and securities may be given to me only on my specific request.
- 4) I/We authorize you to offset dues owned by the client or any of my/our family / related members to any group or associate company of the Stock Broker, from the amounts standing to the credit of his/her account with the Stock Broker.
- 5) I/We agree and authorize you to debit charges for depository services or inter settlement charges in cases where the securities paying are made directly from margin a/c. balance and any other incidental charges, penalties imposed by exchange etc. to my / our running account.
- 6) The client further agree that other charges by the name of turnover charges / Exchange turnover charges / stamp duty charges / stamp paper charges or by any other name will be borne by the client in addition the brokerage payable on transaction and the same shall be debited to the client account with the member. The client further confirms that is shall be his duty to note the said charges regularly and periodically and shall not raise any dispute or claim in respect to said charge(s) at any later stage. The client further certify and ensure that the said charges can be carried by the broker from time to time and broker is not requiring taking separate specific approval from the client.
- 7) I/We agree that you may refuse to execute any particular transactions without assigning any reason thereof.
- 8) I/We hereby request you to please provide me some support in the form of technical analysis (intraday, medium to short term), research reports, both securities wise and sector wise, fundamentals analysis of stocks for my trading and investment decisions. Further, I/We hereby confirm and declare that your providing me any or all such requested assistance, through SMS, Emails and/or research reports could not be held liable for any loss that may occur, as I understand that trading and investment decisions are subject to market risks. I also understand that your company, directly or indirectly, may hold any market position in the securities covered under your research advises and I am not bound to follow your advises and assistance. Please also note I am responsible for all my trading and investment decisions and under circumstance any body else (including yourself) can be held liable for any depreciation in my investments
- 9) I/We agree to abide by client level position limit presented by stock exchange and other relevant, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I/We further authorize you to debit us for any penalty imposed on you for our violation toward position limit.
- 10) I/We shall be extending all co-operation to Frontline Capital Services Ltd. in their endeavor toward Anti-Money Laundering. Frontline Capital Services Ltd. may initiate any enquiry against me/us and or my/our transaction any time without any legal implication whatsoever against them. I/We understand that information about me/us and my/our transaction may be reported by Frontline Capital Services Ltd. to FIU/concerned authorities without any intimation to us and have no objection to the same.
- 11) Frontline Capital Services Ltd. can pass on me/us any penalty imposed /loss suffered together with incidental expenses due to my/our violating any of the requirements/stipulations of NSE/BSE or any other regulatory authority.
- 12) We may revoke the authorisation at any time.
 - You are requested to follow the above-mentioned standing instructions until further written notice.
 - I/We confirm that there instructions and requests have been given voluntarily by me/us.

Thanking you,

Yours faithfully,

Signature :  8

Name :

AUTHORISATION BY JOINT HOLDER

To,
Frontline Capital Services Ltd.

Date

Member : NSE & BSE
Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Subject: Authorisation by Joint Holder

Dear Sir,

This is in connection with operation of Demat A/c with (Name of the Depository Participant) having DP ID No..... & Client ID..... maintained jointly withand matters incidental there to.

Kindly be informed that I, hereby authorise him/her to sell shares lying in the said joint account through his / her trading account being maintained with you. Further, you may issue cheque for the sale proceeds of shares lying in our joint account in favour of

Kindly do the needful and oblige.

Thanking you,

 9

Client Signature

Name :

BANK AUTHORISATION

To,
Frontline Capital Services Ltd.

Date

Member : NSE & BSE
Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Subject: Bank Authorisation

This is in connection with operation of Bank A/c No..... (Name of the Bank) maintained jointly with and matters incidental there to.

Kindly be informed that I, hereby authorises to purchase shares and make payment from the aforesaid joint A/c. Further, you may deliver shares against purchases made by making payment from above said A/c to..... Kindly do the needful and oblige.

Thanking you,

 10

Client Signature

Name :

SHARES RECEIVED / TO BE RECEIVED IN DEMAT FORM (Pay-out)

To,
Frontline Capital Services Ltd.

Date :

Member : NSE & BSE
Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Subject: Shares Received/to be Received in Demat Form (Pay-out)

Dear Sir,

We/I hereby authorised you to transfer the shares received/to be received in Demat Form (if any) against My / Our purchase from time to time in the following beneficiary Demat account.

Client Name:

Client ID :

DP Name :

DP ID :

In consideration therefore, I agree to keep you indemnified, saved, defended and harmless for all the time hereafter against all losses, costs, demands, risks, charges, Expenses, damages etc, which may arise time to time during the course of business.

Further you are also authorised to debit my/our account and transfer the payment for which bills has been raised by your Depository Participant division.




Kindly do the needful as required time to time

Thanking you,

Yours Sincerely

Client Code:

Signature

- | | |
|--------------------------|--|
| 1. Name 1st holder |  11 |
| 2. Name 2nd holder |  |
| 3. Name 3rd holder..... |  |

AUTHORIZATION FOR ADJUSTMENT OF BALANCES IN FAMILY/GROUP ACCOUNTS

(IN CASE OF INDIVIDUALS)

To,
Frontline Capital Services Ltd.

Date :

Member : NSE & BSE

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

S.No.	Name of Company	Client Code	Name of Client	Account type	Signature of Client
1					
2					
3					
4					
5					

We the above mentioned entities/constituents have been regularly trading and investing through you on the Stock exchange. For the purpose of operations with you, we have agreed among ourselves to be treated collectively as a FAMILY of accounts in terms of Member Client Agreement.

In order to facilitate operations, we hereby authorize you to set off the outstanding (including interest on delayed payments in any of the above mentioned accounts against credits available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and/or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by any constituent(s) of the family.

We agree to intimate you, from time to time, of any additions or deletions of clients to the said family. We agree that any deletion shall take effect only on the completion of settlement and adjustments of balances in all the accounts of the clients belonging to the Family.

We have affixed our signatures above consenting to the above mentioned terms of adjustments.

 12_____
Client Signature

FORMAT OF NRI CLIENT CODE APPLICATION TO BE SUBMITTED BY NRI TO THE CLEARING MEMBER

To, Date :

Frontline Capital Services Ltd.

Member : NSE & BSE
Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

SUB: APPLICATION FOR THE ALLOTMENT OF NRI CODE.

I wish to appoint you as my Clearing Member for clearing and settlement of trades done on the futures and options segment of NSE/BSE. My details are as follows:

Name (as appearing in Passport) :
Passport No. :
NRO Bank Account No. :
Telephone No. : E-mail :
Current/ Foreign Address :
: Pin Code.....
Permanent Address in India :
: Pin Code.....

We request you to kindly get an NRI client code allotted by NSE/BSE/NSCCL for the same.

I undertake that all the trades executed through the above allotted NRI Client code will be on my* behalf.

(*If the NRI Client code application is for an HUF then the details of the Karta (Manager) has to be given in the application and in the undertaking should be provided as follows: "I undertake that all the trades executed through the above allotted code wi ll be on behalf of HUF")

Yours sincerely,

 13

Client Signature

Name.....

UNDERTAKING

To, Date

Frontline Capital Services Ltd.

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

UNDERTAKING

I, S/o
R/o

.....dealing as a constituent with M/s FRONTLINE CAPITAL SERVICES LTD., having Regd. Office at M-6, 11nd Floor, M-Block market, Greater Kailash-II, New Delhi-110068 in terms of the Member & Constituent agreement dated executed between us, further undertake to do as follows:

To provide when called upon to do so forthwith from time to time a Margin Deposit and/or furnish additional Margin as required under the Rules and Regulations of the Delhi / National Stock Exchange / Bombay Stock Exchange and/ or specified by the Treading Member in respect of business done for me and /or with me by the Trading Member.

Signature..... 14 Name :

AUTHORISATION LETTER FOR AUTHORISED PERSON

To,
Frontline Capital Services Ltd.

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

SUB.: AUTHORITY LETTER FOR AUTHORISED PERSON

Dear Sir,

I/we have been/ shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options and/ or Currency Derivatives Segments. As my / our Broker i.e. agent I /we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

I /we authorise Mr. / Ms.....to deal I transact on my / our behalf and to place orders, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my/our behalf which I/we can do. And I /we the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her or his/her substitutes shall be my / our acts, deeds and things validly done by me/ us to all intents and purposes.

Please treat this authorization as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above.

Thanking you,
Yours faithfully

 15 _____
Client Signature

Client Name :

Name and address details of my / our Authorised person are :

Name :

Address :

CLIENT DEFAULTER DECLARATION

Dated : _____

I, _____ having PAN no. _____

do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.

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

 16 _____
Client Signature

Client Name:

Client Code:

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

DECLARATION BY HUF

To,

Frontline Capital Services Ltd.

Dated : _____

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No.....
.....do hereby authorize KARTA of the family Mr....., to
open/operate in the name in this HUF a dealing/trading account and inter-alia to give order, execute deals through you for and on behalf
of the our HUF above names and we state that we are and shall always be jointly and severally responsible for the
dealings/orders/trades/transactions that are executed by the Karta Mr.....
.....And all his orders/deals shall be binding on the HUF and all its members
jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are
required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr.....
.....is given below :

Specimen Signature in Full.....

Thanking you,

Yours faithfully,

Name & Signature of Karta  17

For.....(HUF)

Name & Signature of Adult Co-parceners (Use Annexure for additional Members)

- 1. _____ ⊗ _____
- 2. _____ ⊗ _____
- 3. _____ ⊗ _____
- 4. _____ ⊗ _____

Name & Date of Birth of Minor-Co-parceners

- 1. _____ ⊗ _____
- 2. _____ ⊗ _____
- 3. _____ ⊗ _____
- 4. _____ ⊗ _____

DECLARATION TO BE GIVEN BY PARTNERSHIP ON LETTER HEAD OF THE FIRM

To,

Frontline Capital Services Ltd.

Dated : _____

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Dear Sir,

We refer to the trading account opened / being opened with you in the name of.....
.....and declare and authorise you as under.

We recognise that a beneficiary account cannot be opened with a depository participant in the name of a Partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operation, we authorise you to recognise the beneficiary account no..... with depository.....opened as a joint account in the name of the partners of the firm.

We agree that the obligation for shares purchased and / or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognise and accept transfer made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorise....., partner in the firm to execute / sign and submit such documents, agreements deeds etc., as may be necessary to enter into the agreement and engage in business with Frontline Capital Services Ltd. and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in Inter Exchange Dealings.

NAME OF THE PARTNERS (IN BLOCK LETTERS)	SIGNATURES

DECLARATION BY SOLD PROPRIETORSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
Frontline Capital Services Ltd.

Dated : _____

Regd. Office : M-6, 2nd & 3rd Floor, M-Block Market, GK-II, New Delhi-110048

Dear Sir,

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

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

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

Signature (Please sign with stamp of the firm).....

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advice you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligation that the firm may incur in the course of dealings with you and undertake to personality discharge such liabilities.

Yours truly,

Signature (Please sign with stamp of the firm).....

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES

(To be printed on the letter head of the Company)

CERTIFIED TRUE COPY OF THE RESOLUTION - PASSED IN THE BOARD MEETING OF _____
_____ LTD. HAVING REGISTERED OFFICE AT _____
_____ HELD ON _____ DAY OF _____
20 _____ AT _____ A.M./P.M.

RESOLVED THAT the Company is empowered to deal with FRONTLINE CAPITAL SERVICES LTD., Member of the National Stock Exchange of India Ltd. (NSE)/Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing in Capital Market Segment, Future and Options Segment, Currency Derivatives Segment or any other segment that may be introduced by NSE/BSE in future.

Resolved further that in pursuance of the same the company do enter into an agreement with FRONTLINE CAPITAL SERVICES LTD., Member of National Stock Exchange of India Ltd. (NSE)/Bombay Stock Exchange Ltd. (BSE)) for Cash, F&O and Currency Derivative Segment, and the said Trading Member be and is hereby authorised to honor instructions, oral or written, given on behalf of the company by any of the under noted authorised signatories :

	Name	Designation	Specimen Signature
1.
2.
3.

Who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal through FRONTLINE CAPITAL SERVICES LTD., on behalf, of the Company.

RESOLVED FURTHER THAT Mr.....and/or
Mr.....Directors and/or
Mr.....authorized Signatory of the Company be
and are hereby jointly and/or severally authorised to sign, execute and submit such forms, applications, undertakings, agreements and
other requisite documents, writings and deeds as may be deemed necessary or expedient to give effect to this resolution.

RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Directors or of
anyone Director and Company Secretary, who shall sign the same in token of their presence.

For.....Ltd.

Chairman / Company Secretary

Instruction : Please put Common Seal of the Company

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

Date

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dt. 31/12/10 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Section 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

 18

Client Signature

Name :

FOR OFFICE USE ONLY

	Name	Employee Code	Signature
Punched by			
Verified by			
Rejected by			



Frontline Capital Services Ltd.

MEMBER

NSE (Capital, F&O and Currency Derivative Segment)
SEBI Regn. No.: INB 230792430, INF 230792430, INE 230792430
BSE (Capital and F&O Segment), SEBI Regn. No.: INB 010792431, INF 010792431
Depository Participant : NSDL (DP ID - IN 300564), SEBI Regn. No.: IN-DP-NSDL-56-98
Portfolio Manager : SEBI Regn. No. INP 000003690

Coporate Office : B-22, Sector-4, Noida (UP)-201301
Regd. Off : M-6, 2nd Floor, M-Block Market, GK-II, New Delhi-110048
Tel No.: 0120-2534066 to 068, Fax : 0120-2534111
Email : fcsl@fsltechnologies.com • Web Site : www.fcslindia.com
Grievances Email Id : fcsl_grievances@fsltechnologies.com



Print Waves # 9810484111

ACKNOWLEDGEMENT

To,

Frontline Capital Services Ltd.

Dated :

Regd. Office : M-6, 2nd Floor, M-Block Market, GK-II, New Delhi-110048

Dear Sir,

I/We hereby acknowledge the receipt of Right and Obligations, Risk Disclosure Document and Guidance Note with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct.

I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

.....Trading Code.....

UCC..... My Email Id.....



Client Signature