

NSE / BSE / DEMAT
CASH AND F&O
FRR SHARES & SECURITIES LTD.



MEMBER, BOMBAY STOCK EXCHANGE LTD.
BSE : SEBI REGISTRATION NO. : INB/INF 011397230 Dated 05.08.2010

MEMBER, NATIONAL STOCK EXCHANGE OF INDIA LTD
NSE . SEBI REGISTRATION NO. : INB/INF 231397234 Dated 05.08.2010

CURRENCY DERIVATIVES : INE 231397234 DATED 20.09.2010
Clearing Member, Infrastructure Leasing & Financial Services Ltd.
Plot No. 14, Raheja Vihar, Chandivali, Andheri (East), Mumbai-400 072. Tel. 28570965
SEBI Regn No. INE231133630 CLG Code-C50008

DEPOSITORY PARTICIPANT, CENTRAL DEPOSITORY SERVICES LIMITED.
CDSL SEBI REGISTRATION NO. : IN-DP-CDSL-591-2010 Dated 04.11.2010

Regd. Off.: 205, Embassy Centre, Nariman Point, Mumbai - 400 021. Tel.: 22833825 Fax : 22852919
Correspondence Off.: C - 103, 10th Flr., Mittal Towers, Nariman Point, Mumbai - 400 021.
Tel.: 43344200 Fax : 43344223

Compliance officer : Nitin Lakhota Tel.: 022 65563031 / 9320174101 Email : nitin.lakhota@frrshares.com

Designated Director : Janak C. Mehta. Tel.: 022 43344200 / 9867310447. Email : janak.mehta@frrshares.com

Date : _____

To,

Dear Sir / Madam,

We thank you for your interest in using the services of **FRR Shares & Securities Ltd.**

We are sending herewith the client registration forms required as per SEBI regulations. We kindly request you to read the checklist enclosed on page no. 2 & 3 for individuals & page no. 3, 4 & 5 for corporate and take care of sending the required documents.

Please note that the documents of this booklet are as per the circular number SEBI/MIRSD/16/2011 dated August 22, 2011 issued by SEBI.

Please mandatorily sign in the respective Market Segments you wish to trade on (Page No. 7) for Individuals & (Page No. 9) for Non Individuals.

Kindly call us for any clarifications or assistance in filling up the form.

Thanking you.

Yours faithfully,

For **FRR Shares & Securities Ltd.**

Authorised Signatory



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For Any Grievance : nitin.lakhotia@frrshares.com

Compliance officer : Nitin Lakhotia Tel.: 022 65563031 / 9320174101 Email : nitin.lakhotia@frrshares.com
Designated Director : Janak C. Mehta. Tel.: 022 43344200 / 9867310447 Email : janak.mehta@frrshares.com

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM - INDIVIDUAL ACCOUNTS

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; 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) or Electricity 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.
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.

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.

NOTICE TO INVESTORS

PLEASE NOTE THAT THIS IS A STOCK BROKING COMPANY AND WE DEAL ONLY IN SECURITIES AND NOT INTO ANY OTHER BUSINESS.

PLEASE NOTE WE DO NOT INDULGE INTO ANY LENDING AND BORROWING OF FUNDS OR SECURITIES NOR HAVE WE AUTHORIZED ANYBODY TO DO SO ON OUR BEHALF.

PLEASE DO NOT GET LURED BY ANY BOGUS COMMITMENTS SUCH AS FIXED RETURNS. NO BROKERAGES. NO DP CHARGES NO AMC. FREE ACCOUNT OPENINGS.

PLEASE DO NOT AUTHORIZE ANYBODY TO TRADE ON YOUR BEHALF

PLEASE DO NOT SHARE YOUR PASSWORDS WITH ANYBODY INCLUDING OUR EMPLOYEES SUB BROKER.

PLEASE AVAIL THE SMS / EMAIL FACILITY TO KEEP A ONLINE CHECK ON YOUR DEALINGS BY PROVIDING YOUR MOBILE / EMAIL IDS.

PLEASE CONFIRM YOUR TRADES ON A DAILY BASIS AND INFORM THE BRANCH MANAGER OF ANY DISCREPANCY IMMEDIATELY.

PLEASE DO NOT HESITATE TO GET IN TOUCH WITH THE REGIONAL OFFICE OR HEAD OFFICE IN CASE YOUR QUERY IS NOT RESOLVED BY THE BRANCH IN TWO DAYS.

PLEASE STOP TRADING IMMEDIATELY ONCE YOU HAVE A FEELING THAT THERE IS CERTAIN IRREGULARITY IN YOUR ACCOUNT.

PLEASE DO NOT ISSUE ANY CHEQUES IN ANY OTHER NAME EXCEPT "FRR SHARES & SECURITIES LTD."

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Place for
Intermediary Logo

Application No. :



Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village			Country			Pin Code		
State								

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail Id.					

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village			Country			Pin Code		
State								

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information: _____

DECLARATION

SIGNATURE OF APPLICANT

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

Place: _____

Date: _____

--	--

FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Please provide details of all bank accounts to avoid any third party or mismatch issues which can result into delayed transfer of shares purchased by you.

Name of Bank & Branch Address	Account No.	Account Type: Saving/ Current/ Others - In Case of NRI/NRE/NRO	IFSC CODE	MICR

(Please submit a letter from the banker certifying account number/pass book or a copy of latest statement)

Financial details of the constituent : Income Range (Per Annum) (where applicable) (PLEASE ATTACH PROOF)

Below ₹1 Lac ₹1 Lac to ₹ 5 Lac ₹5 Lac to ₹10 Lac ₹10 Lac to ₹ 25 Lac Above ₹25 Lac

Income Tax (PAN/GIR/ No.)

Unique Identification No. (UID) / AADHAR, If any

Market Value of Portfolio as on :

Networth as on :

(Networth should not be older than 1 year)

OCCUPATION DETAILS

Occupation : Private Sector / Public Sector / Government Service Employee / Business / Professional / House Wife / Student / retired / Other (Tick whichever is applicable.) If Employed

Name of Employer / Establishment _____

Office Address _____

Telephone No. _____ Fax No. _____

Please tick if applicable : Political Exposed Person (PEP) / Related to a Politically Exposed Person (RPEP)

DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

NAME OF STOCK BROKER / SUB BROKER

If Dealing through a sub broker provide the following details :

Name of Sub Broker : _____

Address : _____

SEBI Regn. No. : _____

Phone : _____ Fax : _____

Website : _____

NAME OF EXCHANGE

CONSTITUENT CODE NO. TRADING ON : BSE NSE MCX-SX

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

Please provide details of all demat accounts to avoid any third party or mismatch issues which can result into auctions of shares sold by you.

Name of your Depository Participant :	Name of Depository :
DP ID No.	
Beneficiary ID (BO ID)	Beneficiary Name :
Name of your Depository Participant :	Name of Depository :
DP ID No.	
Beneficiary ID (BO ID)	Beneficiary Name :

ADDITIONAL DETAILS

1) Whether you wish to receive physical contract note or electronic contract Note (ECN) please specify _____

Specify your email ID If applicable _____

2) Whether you wish to avail the facility of internet trading / wireless technology (Please specify) _____

Investment / Trading Experience

Prior experience: No of Years in Stocks _____ In Derivatives _____ In other related fields _____

Market Segments you wish to trade on : (Please sign against the respective segment)

BSE CAPITAL _____ BSE DERIVATIVES _____

NSE CAPITAL _____ NSE DERIVATIVES _____

NSE MF _____ NSE CURRENCY DERIVATIVES _____

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

PAST ACTION :

Details of any action / proceedings Initiated / pending / taken by SEBI/Stock Exchange/any other regulatory authority / body against the applicant /client of dealing in securities in last 3 yrs.

INTRODUCER DETAILS : (Optional)

Name of the Introducer _____

Address: _____

Phone : _____

Status of the Introducer : Sub Broker / Remisier / Authorised Person / Existing Client / Employee / Others _____

X
Signature of Introducer

NOMINATION DETAILS (for individuals only)

I/We wish to nominate

I/We do not wish to nominate

Name of Nominee : _____ Relationship with the Nominee : _____

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

Address and phone no. of the Nominee : _____

IF Nominee is a minor, details of guardian :

Name of guardian: _____ Address and phone no. guardian : _____

Signature of guardian _____

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

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION :

- 1) 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.
- 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 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.

Name : _____

Place: _____

Date : _____

Client Signature **X****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 FRR Shares & Securities Ltd.**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	CA Certified Networth Certificate
Copy of Demat Account Holding Statement	Bank Account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals :

a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/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.

Joint Holders-Second Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Other	Suffix <input type="text"/>
Permanent Address					
City		State			
Country		Pin Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone No.		Fax No.	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN / GIR No.	IT Circle Ward / District				
E-mail ID					

Joint Holders-Third Holder's Details

First Name					
Middle Name					
Last Name					
Father / Husband Name					
Title	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Other	Suffix <input type="text"/>
Permanent Address					
City		State			
Country		Pin Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
Telephone No.		Fax No.	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN / GIR No.	IT Circle Ward / District				
E-mail ID					

I / We instruct the DP to receive each and every credit in my / our account (if not marked, the default option would be yes).	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement (as per sebi regulation)	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly

	Second Joint Holder	Third Joint Holder
Name		
Signature	X	X
	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Please paste recent Passport Size Photograph </div> <p style="text-align: center; margin-top: 5px;">Sign across the photo</p>	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Please paste recent Passport Size Photograph </div> <p style="text-align: center; margin-top: 5px;">Sign across the photo</p>

(Signature should preferably be in Black ink)

(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.)

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end Yes No

(If not marked, the default option would be 'No')

I/ We would like to share the email ID with the RTA Yes No

I / We would like to receive the Annual Report Physical / Electronic / Both Physical and Electronic

(Tick the applicable box. If not marked the default option would be in Physical)

I/we request you to send Electronic transaction cum holding statement at Sole / First holders Yes <input type="checkbox"/> No <input type="checkbox"/>										
Email ID stated in the account opening form or at _____										
Additional Details										
SMS Alert Facility	<input type="checkbox"/> Yes MOBILE +91 ----- <input type="checkbox"/> No Refer to Terms & Conditions given as Annexure-A									
Transactions Using Secured Texting Facility (TRUST) Refer to Terms and Conitions Annexure-2.6	I wish to avail the TRUST facility using the Mobile number registered fro SMS Alert Facility. I have read and unhrderstood the Terms and Conditons prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="width:33%;">Stock Exchange Name/ID</th> <th style="width:33%;">Clearing Member Name</th> <th style="width:33%;">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
Easi	To register for esi, please vist our website www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of th portfolio online									

Details For Joint Second Holder	
Date of Birth	D D M M Y Y Y Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> {Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Statutory Body <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) -----
Name of business : (Products / services provided)	

Details For Joint Third Holder	
Date of Birth	D D M M Y Y Y Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify)
Sex	<input type="checkbox"/> Male <input type="checkbox"/> Female
Occupation	<input type="checkbox"/> Service <input type="checkbox"/> {Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> NGO <input type="checkbox"/> Professional <input type="checkbox"/> Statutory Body <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Specify) -----
Name of business : (Products / services provided)	

Details of Guardian (in case the account holder is minor)

Guardian's Name	PAN	
Relationship with the applicant		

(Perforated Card)

(To be filled by FRR SHARES & SECURITIES LTD.)

DP ID	1	2	0	6	8	1	0	0	Client ID									
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--	--

	First/Sole Holder	Second Holder	Third Holder
Name			
Specimen Signatures	X	X	X

NOTES:

A) In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

8) (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or) (iii) Photocopy of the Passbook having name and address of the BO, (or) (iv) Letter from the Bank. In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.

I/We have read the DP-BO agreement including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

ADJUSTMENT OF CDSL BILL WITH TRADING ACCOUNT

To,

FRR SHARES & SECURITIES LTD.

Dear Sir

I _____ HAVING A BENEFICIAL
DEMAT ACCOUNT NO. _____ AND A
TRADING ACCOUNT NO. _____ WITH YOU. I HEREBY AUTHORISE YOU TO SETT
OFF/ADJUST MY DEBIT BALANCE IN THE IN THE DEMAT ACCOUNT WITH THE CREDIT BALANCE LYING IN
TRADING ACCOUNT FROM TIME TO TIME.

X _____
1st Holder

X _____
2nd Holder

X _____
3rd Holder

(Please Tear Here)

Application No. : Acknowledgement Receipt

Date : _____

BOID	1	2	0	6	8	1	0	0									
------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

We hereby acknowledge the receipt of the Account Opening Application Form :

Name of the Sole / First Holder	
Name of the Second Joint Holder	
Name of the Third Joint Holde	

Nomination Form (DEMAT ACCOUNT)

To,
FRR SHARES & SECURITIES LTD.
 C-103, 10th Floor, Mittal Towers, Nariman Point, Mumbai – 400 021

Dear Sir/ Madam,
 I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- I/we do not wish to nominate any one for this demat Account and Trading Account.
 I/We nominate the following person who is entitled to receive security balances lying in my / our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

[Strike out what is not applicable] [signature of all account holders should be obtained on this form]

Nominee details				Nominee Photo
Name				
Address				
City		State		
Country		PIN		
Telephone No		Fax No.		
E-mail ID		Pan		
Relationship with BO (If any)				
Date of birth (If nominee is a minor)				

As the nominee is a minor as on date, I/We appoint following person to act as guardian:

Guardian Name			
Address			
City		State	
Country		PIN	
Age			

to receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place: _____ Date: _____

	First/Sole Holder or Guardian (in case of minor)	Second Holder	Third Holder
Name			
Specimen Signature	X	X	X

Note: Two witnesses shall attest signature(s) / Thumb impression(s).

Details of the Witness		
	First Witness	Second Witness
Names of Witness		
Address of witness		
Signature of Witness		

Nomination accepted and registered wide Registration No. _____ Dated _____

For FRR Shares & Securities Ltd

===== (Please Tear here) =====

Received nomination request from :

DP ID	1	2	0	6	8	1	0	0	Client ID							
Name																
Address																
Nomination in favor of																
No Nomination	<input type="checkbox"/> Does not wish to nominate															
Registration No.							Registered on	D	D	M	M	Y	Y	Y	Y	

For FRR Shares & Securities Ltd

TARIFF SHEET

a) Applicable brokerage rate :

Delivery based trades : _____ % Min _____ paise per share

Intra Day trades : _____ % Min _____ paise per share

Statutory levies and transaction charges levied by the exchanges would be recovered separately.

In case of reduction in brokerage rates, no approval of the client would be required.

(Brokerages will not exceed 2.5 % as stipulated by SEBI.)

b) Imposition of Penalty / delayed payment charges by either party :

Member will apply interest / late payment charges at the rate of % p. a. on all outstanding obligations subject to settlement schedules on a daily basis.

Member will pay interest at the rate of 1 % p. a. to the client only in case of delay in payment from members end. The client agrees that he will not be liable to claim any interest on credit balances in his account if he has given consent to retain credit balances in his/her/its account.

In case client/s has/have given consent to maintain running account, the *client/s* would be required to give specific written request to release the credit balance/funds in his/her/its trading account/s.

Particulars	
Documentation Charges (one time)	
POA Agreement Charge	₹ 100/-
Account Maintenance Charges (per annum)	
Individual Account / Corporate	₹ 200 / 400 / 800/-
Dematerialization Charges (per request) DRF	
Certificate Processing Charges (per certificate)	₹ 2/-
Postage / Courier (per DRF)	₹ 20/-
Rejection DRF Postage / Courier	₹ 20/-
Rematerialization Charges (per request)	
Per certificate (100 qty.)	₹ 100/-
Postage / Courier (per certificate)	₹ 20/-
Transaction Charges (per Debit Instruction) Sell	
Market transactions per ISIN	Flat ₹ 20/-
Off Market transactions per ISIN	Flat ₹ 20/-
Bouncing of Demat Instruction Slip fine	₹ 10/-
Transaction Charges for Credits - Buy	
Market transactions	NIL
Off market transactions	NIL
Pledge / Hypothecation (per instruction)	
Creation	₹ 50/-
Closure	NIL
Invocation	₹ 100/-
Others	
SMS Alert Facility*	NIL
Statement of accounts on E-mail (Monthly)	NIL
Billing cycle	Monthly
Additional Statement	₹ 15/-

* Time being Free

** Fees schedule are based on existing CDSL, charges and may be changed at our discretion.

*** Service tax and other Levis would be extra on actual basic.

Signature of Beneficiary Owner (1) _____ (2) _____ (3) _____

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.

2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.

4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"

6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.

7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.

12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.

14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account

15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.

20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,

1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.

2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.

27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.

28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.

29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI

30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.

31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

(VOLUNTARY)

POWER OF ATTORNEY IN FAVOUR OF FRR SHARES & SECURITIES LTD

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "FRR SHARES & SECURITIES LTD", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at 205, Embassy Centre, Nariman Point, Mumbai 400021 (hereinafter referred to as 'FRR', an expression deemed to mean and include its successors and assigns)

WHEREAS FRR SHARES & SECURITIES LTD is a member of the National Stock Exchange of India Limited ("NSE") (bearing SEBI registration nos. INB/INF 231397234 on the Capital Market Segment, Futures & Options Segment respectively), Bombay Stock Exchange Limited ("BSE") (bearing SEBI registration nos. INB/INF 011397230 on the Cash Market Segment and Derivatives Segment respectively).

AND WHEREAS FRR SHARES & SECURITIES LTD is a AMFI Registered Mutual Fund Advisor (ARMFA) having AMFI Registration no. ARN-81648.

AND WHEREAS FRR SHARES & SECURITIES LTD is a Depository Participant with the Central Depository Services (India) Limited (CDSL) having SEBI registration number IN-DP-CDSL-591-2010

AND WHEREAS I / We wish to avail / I/We am/are a client availing of the services offered by FRR and has executed necessary Client Registration Form, Rights & Obligation documents with FRR for transacting in securities with/ without On-Line trading / E-broking & web based facilities and / or services through its website www.frrshares.com or any other website used for offering said Services. Details of my / our Trading and Demat account with FRR are provided in Schedule 1 AND WHEREAS for facilitating smooth operations of the said services being availed from FRR by me / us, I / we am/are desirous of appointing an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I / we, do hereby, jointly and severally nominate, constitute and appoint "FRR SHARES & SECURITIES LTD" being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") acting through any of its directors, officers and / or agents, as my / our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me / us, in my / our name and on my / our behalf and at my / our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To instruct the Depository Participant, being FRR to transfer securities held in my/our beneficial owner /demat account as provided in Schedule 1 ("client designated demat accounts") to such demat account of FRR as provided in Schedule 2 and / or designated by FRR and intimated to me from time to time ("FRR designated demat account") towards stock exchange related margin / delivery obligations arising out of trades executed by me/us through FRR on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. To make application and / or issue instruction for creation / invocation / closure of pledge on the securities/units held in my / our client designated demat accounts in favour of FRR for the limited purpose of meeting the margin requirements in connection with the trades executed by me / us through FRR on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
3. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me / us under the executed Client Registration Form alongwith Rights & Obligation with FRR are duly and properly completed.

X

X

X

1st Holder

2nd Holder

3rd Holder

(VOLUNTARY)

4. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
5. Pursuant to my/our instruction to apply for various products like Mutual Funds, Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
6. Pursuant to my/our instruction or instruction of my/our Authorised Representative, (only in case of Non - Individual client) to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/ Body/ Authority and to receive and hold such rights or additional shares bonds or debentures.
7. To sign the necessary forms and other documents if any and to file the same with the company/ies and / or Mutual Fund concerned for purchase, sell, redemption or otherwise transfer of such securities/ units of Mutual Funds and transferring it in my/our name.
8. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of Investment Product.
9. To operate and to give delivery/receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through FRR on NSE, BSE, under my/our instructions
10. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
11. To arrange to return to me / us the securities that may have been received by FRR erroneously or those securities that FRR is not entitled to receive from me / us.
12. To do or omit to do all such acts and things as FRR may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
13. My/Our Attorney FRR shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/our application for any reason beyond its control.
14. To send consolidated summary of my / our scrip wise buy and sell positions taken with average rates by way of SMS / e-mail at my / our registered mobile no. / email id as provided by me / us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

AND I/We hereby agree that FRR shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/us, which may be given orally, over the telephone, through the internet, electronically or in any other approved manner to FRR and such instructions shall be deemed to have been given by me/us.

AND I /We hereby agree that all such acts done by my/our above mentioned attorney shall be deemed to be acts done by me/us and if necessary shall be ratified by me/us on the instructions of the said attorney.

X

X

X

1st Holder

2nd Holder

3rd Holder

(VOLUNTARY)

AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative and shall remain in force till the termination of executed Client Registration Form alongwith Rights & Obligation and / or any other agreement(s) that I/We have entered into with FRR.

I / we may revoke this Power of Attorney at any time by giving a notice to FRR in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents. The revocation shall be subject to due receipt, verification and processing of the same by FRR.

This document shall be subject to the jurisdiction of the Courts in _____.

MADE and executed at _____ on this _____ day of _____ 20_____

Schedule 1

Name	Trading Code	Client Designated Demat account

Schedule 2 - FRR Designated Demat Account Nos :

DP NAME & DP ID	CLIENT ID
FRR Shares & Securities Ltd. DPID-12068100	12068100000001498
FRR Shares & Securities Ltd. DPID-12068100	M51773- NSE
FRR Shares & Securities Ltd. DPID-12068100	6207 – BSE
SHCIL DPID IN 301330	CMBP ID-IN662070
SHCIL DPID IN 301330	CMBP ID-IN517739

IN WITNESS WHEREOF I/We have hereunto set and subscribed with my/our respective hands to this present day and the year herein above written.

Name of account holders

Signature (Full)

X _____

X _____

X _____

In the presence of :

Witness :

Name

Signature

Detail of Co-parceners (for HUF accounts only)

Name of the Co-parceners	Relation	Date of Birth	Signature

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For FRR SHARES & SECURITIES LTD

Authorised Signatory

Date :

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL Annexure - A (DP)

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company Incorporated in India under the Companies Act 1956 and having its registered of at 17th Floor, P.J. Towers, Dalai Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions. Availability:
 1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository can discontinue the service at any time without giving prior notice for any reason whatsoever.
 2. The service is currently available to the BOs who are residing in India.
 3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the tci& network of the service provider.
 4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at time of registration / modification.
 5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which he wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent to such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced as informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities in his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSI complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and I depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO. Disclaimer: The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitter through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the qua" the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraud duplicate or erroneous use/ misuse of such information by any third person. Liability and Indemnity: The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the sent by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as of this service.

Governing Law and Jurisdiction: Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provit to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time. I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP. I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service. | I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

1	2	0	6	8	1	0	0										
BOID								(Please write your 8 digit Client ID)									

Sole / First Holder's Name : _____
 Second Holder's Name : _____
 Third Holder's Name : _____

Mobile Number on which messages are to be sent

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

 (Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of _____
 Email ID : _____

Signatures **X** **X** **X**
Sole/First Holder Second Holder Third Holder

Place _____ Date _____

VOLUNTARY DOCUMENTS Annexure to Client Registration Form

Clients are required to note that this document is voluntary. Client may also note that by signing this documents no investor rights are affected and the document is purely for operational convenience of both the parties to this document. Clients may further note that they can terminate all or any of the clauses of this document and in such a situation FRR Shares & Securities Ltd. reserves the right to terminate the services offered to the client.

Constituent Registration Form :

The Constituent agrees to fill the Constituent registration form, Rights & Obligation completed in all respects alongwith relevant documents and other related aspects as mentioned in the said Constituent registration form.

The Constituent registration form duly complete in all respects shall be submitted to the Member along with this Rights & Obligation document.

The Constituent hereby undertakes to execute all trades for his own behalf only and will not indulge in any sub-broking activity unless duly registered with SEBI.

Constituent Code :

The Member is allotting to the Constituent, the Unique Client Code bearing No. _____ for the orders/ trades/ transactions that are put through the terminal/s or Dealing office/s of the Member located at

Type of Orders/Trades/Modification of Orders:

The Constituent hereby agrees that the Orders put through the NEAT / BOLT / IME / NOW / CTCL system by the Member on his/her/its behalf may result into trade upon matching of the order in the NEAT / BOLT system of the Exchanges and upon such matching the trade confirmation slip may be provided to the Constituent, on demand, by the Member through hand delivery, fax or E-mail, if available with the Constituent.

In the event the Constituent desires to *modify / cancel* the order then the same may be informed to the Member by telephone or in writing by sending a fax or through E-mail for modifying / cancelling the order on the NEAT / BOLT system by the Member. Upon such modification / cancellation of order by the Member, the Constituent shall be informed within a reasonable period of time *by* telephone or in writing or by sending a fax to the Constituent or through E-mail, if available with the Constituent. However, if the order results in a trade in the meantime, the requests for modification or cancellation cannot be executed by the Member.

In the event of the constituent requires an executed trade to be cancelled, the constituent shall give the request for trade cancellation in writing and the constituent further agrees that the right to approve or reject the cancellation of trade rests with the National Stock Exchange of India Limited & Bombay Stock Exchange Limited.

Contract notes/ Bills / Contract Cum Bills :

The Member shall send the Contract notes/ Bills and/or Contract cum Bill of NSE / BSE to the Constituent at the end of the trading day and the said Contract notes/bills and/or Contract cum Bill of NSE / BSE shall be duly acknowledged by the Constituent or by his/her/its authorised representative (only in case of Non - Individual client) by putting his/her/its signature on the duplicate copy of the Contract notes/bills/contract cum bill issued by the Member.

The Member shall endeavor to deliver the said contract notes/bills / contract cum bill to the Constituent by Hand, by Registered A.D, by Speed post or courier.

(VOLUNTARY)

Penalties, charges :

The Member will debit to the client the below mentioned charges / penalties :

- a) Client registration charges _____
- b) DP charges for inter settlement adjustments _____
- c) Clearing member charges for derivatives segment _____
- d) Penalties charged to the member by exchanges on account of violations of rules and regulations of the exchanges committed by the client _____
- e) Cheque bouncing charges _____
- f) User ID charges for availing online trading facility of members as applicable _____

Statement of Accounts: The member shall provide to the constituent statement of accounts as and when demanded, in addition to the quarterly statement of accounts, by the constituent and may be delivered by hand or courier and the constituent or authorized representative (only in case of Non-Individual Client) shall duly acknowledge the same. The Constituent shall have to confirm the statement of account every three months of the financial year and if any discrepancy is noticed in the statement of accounts furnished by the Member the same shall be informed for rectification/clarification preferably within seven days from the date of receipt of the Statement of Account by the Constituent.

The Client hereby agrees to settle the ledger balances at the end of each month/quarter or any period less than that. The Client also agrees and accepts upfront that if he does not settle the ledgers every month/quarter, the Member is fully authorised to suspend his / her / their trading rights regardless of any intimations thereof.

Margins:

The Member shall have the right to collect Security Deposit / in the form of margin from the Constituent and the Constituent hereby agrees to furnish Fund / Shares / Bank FDs. as Margin for the orders/trades/transactions that are put through the Member by the Constituent on or after executing this Constituent Registration Form alongwith Rights & Obligation document.

The Constituent hereby further agrees to furnish additional Margin money immediately as and when advised by the Member for risk management of the Constituents transactions in accordance with the directions of the National Stock Exchange of India Limited or Bombay Stock Exchange Limited to the Member *as per* the Byelaws, Rules and Regulations of the Exchanges.

The Constituent further authorizes the Member to retain securities purchased by him as security deposit / collaterals to fulfill his margin obligations to the Member *and* further authorizes the Member to deposit the said securities so retained as collaterals with the respective exchanges.

The Constituent also authorizes the Member to deposit securities as collaterals with the respective exchanges that are transferred by him from his own beneficial accounts as security deposit.

✓

(VOLUNTARY)

Tape recording of client conversation :

The CLIENT is aware that the MEMBER may tape-record the conversations between the Client or the Client's representative strike-off whichever is not applicable and the MEMBER, either personally or over the telephone, and the Client hereby specifically permits the MEMBER to do so. Such electronic recordings, if any, may be relied upon by the MEMBER as and when required to resolve disputes in connection with the trading transactions.

Delivery of Securities:

The Constituent hereby agrees to deliver the physical securities belonging to the Constituent only and that are sold by him/her through the Member before the transaction is put through by the Member and the physical securities delivered shall be duly acknowledged by the Member. Accordingly, the Member shall deliver the physical securities purchased by the Constituent through the Member on payment of the due amount by the Constituent and the physical securities delivered shall be duly acknowledged by the Constituent.

In case the delivery of securities is through the Dematerialization mode, the Constituent shall provide the Demat Account Number to the Member and give instructions to NSDL/CDSL/Depository Participant from time to time in writing and confirm the same to the Member by letter or fax or E-mail immediately and not later than _____ days before the Stock Exchanges's settlement mechanism.

The Constituent hereby agrees and allows the member to retain the securities purchased in the pool / beneficiary account of the member till such time the Constituent informs the member specifically in writing to transfer the securities from the pool / beneficiary account to the Constituent beneficiary account maintained with the Depository Participant by the Constituent and the member shall transfer such securities lying in the pool / beneficiary account of the member to the Constituent beneficiary account within 24 hours from the date of request and the same shall be confirmed by the member in writing to the Constituent. The Constituent hereby authorizes the member to adjust inter settlement deliveries in case of purchases for which the pay out has not taken place and the same being sold in subsequent Settlements.

The Constituent also agrees and accepts to clear his/her securities balance with the Member at the end of each month/quarter or any period less than that. The Constituent also agrees and accepts upfront that if he does not clear the securities balance with the Member every month/quarter, the Member is fully authorised to suspend his/her/their trading rights regardless of any intimations thereof.

The Constituent hereby agrees and allows the Member to debit the Demat Transaction Charges that are levied by the National Securities Depository Limited or Central Depository Services Limited from time to time in respect of the delivery transactions executed by the Constituent through the Member.

The Member shall not accept any third party cheque / securities on behalf of the constituent and in cas such cheques/ securities are delivered, the Member shall have the right to withhold the payment / securities to the constituent as per the circumstances.

The Member shall credit corporate benefits to the constituent, against his / her shares held in the member's pool / beneficiary account, as per the amount received by the member from the company after accounting for the TDS, if applicable.

✓

(VOLUNTARY)

Closeout of Open Position of the Client :

Notwithstanding anything contained hereinabove, the Trading Member reserves its right to closeout all or any of the open positions of the Client under any/all of the following conditions.

- a) Non-payment of Initial Margin Deposit to the Trading Member within the notice period;
- b) Non-payment of Mark-to-Market Settlement Losses to the Trading Member within the notice period;
- c) Non-payment of any other lawful amount that the Trading Member may require the Client to deposit towards any account from the time to time;
- d) Non-payment of lawful fees charges and any other lawful dues payable by the Client to the Trading Member from time to time;
- e) Misrepresentation by the Client to the Trading Member;
- f) Exchanges declares the Client as a defaulter as per the Rules of the Exchanges.

Auction/Square off/close out:

The Constituent hereby agrees that in the event of the Constituent failing to give delivery of securities or to rectify the company objections within the time specified under the Bye laws, Rules and Regulations of the Exchanges, the Member shall have the right to debit such Auction or Square of amount to the Constituent as may be debited by the Exchanges from time to time.

Transfer of account from one Branch to another :

The Client hereby agrees to inform in writing to the member in case he wishes to transfer his account from one branch of Member to another branch of the Member. The Member will try and obtain a formal NOC from the existing Branch Manager / Sub Broker. On receiving such NOC, the client further agrees in writing that he will close all its open positions, settle all obligations (funds and securities both) and comply with KYC requirement, if any, before transfer of its account to the new branch.

The Constituent hereby agrees that in the event of the non payment of the Margin money as requested by the Member or there is a debit balance in the account or there will be loss incurred to the Constituent due to the adverse market conditions during a day or trading cycle then the Member shall have the right to close-out/square of the position of the Constituent as per the Bye laws, Rules and Regulations of the Exchanges from time to time. However, the Constituent shall be informed about the said close-out/square off by the Member immediately on telephone or fax or E-mail or any other approved mode of communication.

Signature : **X**.....

Name of the constituent :

Address :

Date :

Place :

Date:

To,
FRR SHARES & SECURITIES LTD.
205, Embassy Centre,
Nariman Point,
Fort, Mumbai-400 021.



Unique Client Code No. _____
**Ref : Authority letter for adjustment of funds and shares across all segments
and maintaining running account**

Respected Sir,

I/We _____ have executed the client registration form and right and obligations documents prescribed for trading on NSE and BSE. Pursuant to completion of registration formalities you have allocated the above said client code to me/ us and we wish to commence trading on BSE and NSE on all segments.

I/We hereby willfully and unconditionally issue following standing instructions with references to personal discussion between us for my our operational convenience.

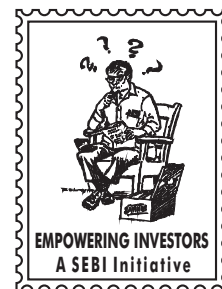
1. I / we will make payments to you for bills raised by you. I / we am / are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my account, unless specifically demanded by me / us and only to the extent of amount demanded by me / us.
2. I / we are agreeable that the credit balance of funds and shares be treated as margin for both cash and derivatives segment.
3. I / we am / are agreeable for transfer of credit balances in margin account / client account of cash segment towards adjustment debit balance in margin account / client account of derivatives segment and vice versa.
4. I / we am / are agreeable for transfer of credit balances in margin account / client account of cash and derivatives segment of (BSE) against debit balance in margin account / client account of cash and derivatives segment of (NSE) and vice versa.
5. I / we am / are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future / past settlements.
6. I / we am / are agreeable for and authorise you to withheld funds pay-out towards all the applicable margins and debits.
7. As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me / us in complying the same, I / we would request you to accept orders placed orally on telephone.

I am aware that the above mentioned points are voluntary and I have an authority to set aside or revoke any of them whenever I want to. These standing instructions are valid from the date the account is opened and will be valid until revoked in writing. I/We instruct you to settle my / our account on monthly quarterly basis. [Kindly tick as per the preference]

Thanking You,
Yours Faithfully,

X

.....
Name and Signature of the client



To,
FRR Shares & Securities Ltd.
205, Embassy Centre,
Nariman Point,
Mumbai-400021.

Dear Sir,

Unique Client code no:.....

Demat ID :.....

Sub : Digital Contract notes/account statements

I / We the undersigned have executed the client registration form and rights and obligations documents prescribed for trading on the Bombay Stock Exchange Ltd and National Stock Exchange of India Ltd. Accordingly you have allocated the above said unique client code to me/us. I/We refer to the facility of receiving the contracts notes and other statements in digital mode and as such I have now created email ids as provided below.

I/We agree to receive contract notes of our dealings in Cash and F&O segments by way of digital contract notes only through email from in accordance with the SEBI circular SMDRP/POLICY/CIR-56/00 dated December 15, 2000. I/We also authorize the member to stop issuing physical copies of contracts unless required by me / us and if deemed suitable to the member.

I/We also agree that the dispatch of the digital contract note from the member's end shall constitute deemed delivery of the same, unless bounced back, and it shall be my /our responsibility to check my / our emails for the same. I/We also agree to bring to the member's notice any discrepancy within preferably 24 hours of receipt of the digital contract note.

I/We also authorize the member to send quarterly financial account statements/securities transaction statements / other statements periodically through the same email mode. The statement of accounts can be sent in physical mode, in addition to the quarterly digital statements, when specific requests are made by me / us. The email address or addresses to be used for the purpose of sending digital contracts and other documents such as account statements/securities transaction statements / demat statements, notices, circulars, etc. is/are mentioned below :

Email address :

Email address :

I also have noted that the digital contracts would also be available to me on www.frrshares.com

In case there is any change in my email id, I will inform the same to you in writing.

This authority is valid till we continue trading with your company or can be revoked by me / us at any point of time.

Thanking you,

Yours truly,

X

.....
Name of the client and Signature

FOR INDIVIDUAL / NON INDIVIDUAL

Date :

To,
FRR Shares & Securities Ltd,
10th Floor, 103/C, Mittal Towers,
Nariman Point,
Mumbai-400021.

Dear Sirs,

This has reference to the client registration formalities completed by me for registering myself / us as a client with your company for dealing in securities and Derivatives on NSE / BSE, and pursuant to completion of the same the unique client code allotted to me ie. _____

I hereby confirm that I have received the photocopies of the client registration form, Rights & Obligations Document, Guidance Note along with dos and donts for stock market trading, the Risk Disclosure Document along with the supporting documents executed by me. I have also noted the details of investor grievance cell of the exchanges along with the details of the compliance officer of FRR Shares & Securities Ltd. I also acknowledge receipt of the DP Rights & Obligations and voluntary POA executed by me.

I also confirm the details submitted by me are true, complete and correct to the best of my knowledge and state that any change in the said details in future would be informed to you upfront by me in writing. In case the changes are not informed I will be solely responsible for any loss incurred due to the same.

Thanking you,

Yours truly,

X

.....
Name and Signature of the Client

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Place for
Intermediary Logo

Application No. :



SECOND HOLDER

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village		Country		Pin Code
State				

2. Contact Details

Tel. (Off.)	(ISD)	(STD)	Tel. (Res.)	(ISD)	(STD)
Mobile	(ISD)	(STD)	Fax	(ISD)	(STD)
E-Mail Id.					

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village		Country		Pin Code
State				

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information: _____

DECLARATION

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

Place: _____

Date: _____

SIGNATURE OF APPLICANT

--	--

FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

**Know Your Client (KYC)
Application Form (For Individuals Only)**



Place for
Intermediary Logo

Application No. :



THIRD HOLDER

Please fill in ENGLISH and in BLOCK LETTERS

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in supporting identification document).

Name

Father's/Spouse Name

2. Gender Male Female B. Marital status Single Married C. Date of Birth

3. Nationality Indian Other (Please specify) _____

4. Status Please tick (✓) Resident Individual Non Resident Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN

 Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any: _____

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

UID (Aadhaar) Passport Voter ID Driving Licence Others _____ (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City / Town / Village		Country	Pin Code
State			

2. Contact Details

Tel. (Off.)	(ISD)	(STD)		Tel. (Res.)	(ISD)	(STD)	
Mobile	(ISD)	(STD)		Fax	(ISD)	(STD)	
E-Mail Id.							

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City / Town / Village		Country	Pin Code
State			

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

Passport Ration Card Registered Lease/Sale Agreement of Residence Driving License Voter Identity Card *Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line) *Latest Electricity Bill Others (Please specify) _____

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information: _____

DECLARATION

SIGNATURE OF APPLICANT

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

Place:

Date:

--

FOR OFFICE USE ONLY

IPV Done on

AMC/Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date