

Sl. No.:.....



FORTUNE
CAPITAL SERVICES PVT LTD

ALWAYS ON YOUR SIDE

ACCOUNT OPENING FORM

CLIENT NAME :
CLIENT CODE

INDEX OF DOCUMENTS

S. No.	Name of the Document	Brief Significance of the Document	Page No
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/checklist	2 3-6
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).	Annexure A
3	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure B
4	Guidance note - DO's & Don'ts	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure C
5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	Annexure D
6	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	7

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

VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER

7	Voluntary Additional Tariff Sheet	Others service charges levied on the client for the services opted by them, if any, in trading on the stock exchanges(s)	8
8	Authorisation letter for Electronic Contract Notes	Client consent letter for receiving the contract notes by E-mail	9
9	Voluntary Rights and Obligations	Voluntary undertakings stating the rights and obligations of stock broker / sub-broker / client for trading on exchanges	10-13
10	Settlement of Funds & Securities	Client Consent letter to retain Rs. 10,000/- during Settling the account.	13
11	Maintenance of Running A/c.- Letter of Authority	Helps the client to enjoy exposures linked to the credit in the trading account	14
12	Mobile and Client defaulter declaration letters	Client consent letter for receiving SMS from Member and stating that he is not a defaulter	15
13	Lien & Set Off	Right to set-off balances in accounts with the Member	16
14	Self Declaration – Derivatives Trading	Client consent letter if Documentary Evidence is not furnished for trading in Capital / Derivatives Market Segment	17

DOCUMENTS TO BE ATTACHED ALONG WITH THE TRADING FORM


1	ID Proof	a) PAN Card 1 Copy, Self attested Compulsory. b) If ID is not clear in PAN Card, pls. Provide self-attested copy of Driving License, Voter's ID, Passport or Aadhar Card.
2	Address Proof	1 Copy - Self attested (Driving License, Voter's ID, Passport, Aadhaar Card, Bank Statement/ Pass Book {Latest 3 months transaction}, Latest BSNL Landline Bill, Latest Gas Bill.
3	Bank Proof	1 cancelled cheque (Personalised i.e Name to be printed on the cheque). If not, please attach a copy of Passbook alongwith 1 to 3 months Transaction Page or Bank Statement of latest 1 to 3 months.
4	Income Proof	1 Self-attested copy of any of the following documents : i) Pay slip (last 3 Months) ii) Form 16 / IT Returns (latest) iii) 6 month Bank statement (latest) iv) Copy of Demat Holding with any other Broker / DP v) If you do not have any of the documents listed above, we request you to sign the Self-Declaration on the last page of the Trading form alongwith latest bank transaction page of 1 to 3 months.

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

Cheque for Account Opening Charges :

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

QUICK CHECK LIST FOR CLIENT

1. Photocopy of clear and legible PAN Card / ID Proof
2. Photocopy of clear and legible Address Proof
3. Photocopy of clear and legible Bank Proof (Name, A/c. No. MICR & IFSC details)
4. Photocopy of Financial Proof
5. Application charges in the name of Fortune Capital Services Pvt. Ltd.,
6. Sign in all the places  (30) marked - Pagewise details given below.

Page No.	No. of Signatures	Check & Tick
KYC Application	2	<input type="checkbox"/>
2	2	<input type="checkbox"/>
3	6	<input type="checkbox"/>
5	1	<input type="checkbox"/>
7	1	<input type="checkbox"/>
8	7	<input type="checkbox"/>
9	1	<input type="checkbox"/>
11	1	<input type="checkbox"/>
13	2	<input type="checkbox"/>
14	1	<input type="checkbox"/>
15	2	<input type="checkbox"/>
16	1	<input type="checkbox"/>
17	1	<input type="checkbox"/>
18	2	<input type="checkbox"/>

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



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

Application No. _____

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

A. IDENTITY DETAILS (Please see guidelines overleaf)

1. Name of the Applicant : _____
2. Father's/ Spouse Name : _____
3. a. Gender : Male Female b. Marital Status : Single/ Married c. Date of birth : _____ (dd/mm/yyyy)
4. a. Nationality : _____ b. Status : Resident Individual Non Resident Foreign National
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of identity submitted: _____



PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

1. Residence Address : _____

 City/Town/Village: _____ Pincode: _____ State: _____ Country: _____
2. Contact Details: Tel.(Off.) _____ Tel.(Res.) _____ Mobile No: _____
 Fax: _____ Email id : _____
3. Specify the proof of address submitted for residence address : _____
4. Permanent Address (if different from above or Overseas Address, Mandatory for Non-Resident Applicant) :

 City/Town/Village: _____ Pincode: _____ State: _____ Country: _____

DECLARATION

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



SIGNATURE OF APPLICANT _____

Date : _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

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

(.....)

Signature of the Authorised Signatory

Seal/Stamp of the intermediary

Name : _____ Designation : _____

Date : _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments Statutory/Regulatory Authorities, Public Sector Undertakings Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale

Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Name of the Trading Member : **Fortune Capital Services Private Limited**

Name of the Clearing member : IL & FS Securities Services Ltd., SEBI Regn. No. INF231133630

Edelweiss Securities Ltd., SEBI Regn. No. INE231193310

SEBI Registration No. Details:

NSE : CM : INB_231457236 F & O: INF 231457236 CDS : INE 231457236
NSE Code No. 14572

BSE : CM : INB 011457232 F & O: INF 011457232
BSE Clearing No. 6524

Registered office address : **M/s. Fortune Capital Services Private Ltd.,**
No. 905, First Floor, Soundarya Colony,
(Syndicate Bank Colony),
Anna Nagar West Extension,
Chennai - 600 101.
Phone : 044- 4560 9696 E-Mail : ftc@ftconline.in
Website: www.ftconline.in

Compliance officer name : **S. Narasimhan**
phone no : 044- 4560 9696
e-mail id : ftc@ftconline.in

Managing Director name : **K. Narayana Moorthy**
phone no. : 044- 4560 9696
e-mail id : knarayanamoorthy@ftconline.in

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

National Stock Exchange of India Ltd. (NSE)

Ph : (022) 26598190
Fax : (022) 26598191
E-mail : ignse@nse.co.in

Bombay Stock Exchange Ltd. (BSE)

Ph : (022) 2272 1233 / 34
Fax : (022) 2272 3677
E-mail : is@bseindia.com

KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS

To
FORTUNE CAPITAL SERVICES PRIVATE LTD.,
 Regd. Office : 905, 1st Floor, Soundarya Colony,
 Syndicate Bank Colony, Annanagar West Extension,
 Chennai - 600 101. Ph. : 044 - 4560 9696
 Email : ftc@ftconline.in Web : www.ftconline.in

PHOTOGRAPH

Please affix your recent
 passport size
 photograph and
 sign across it

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



A. IDENTITY DETAILS

1. Name of the Applicant (Mr./Mrs./Ms.)																			
2. Father's/Spouse Name	Mr./Mrs.																		
3. a. Gender : <input type="checkbox"/> Male <input type="checkbox"/> Female	b. Marital Status : <input type="checkbox"/> Single <input type="checkbox"/> Married						c. Date of Birth :						(dd/mm/yyyy)						
4. a. Nationality :				b. Status				<input type="checkbox"/> Resident Individual				<input type="checkbox"/> Non Resident				<input type="checkbox"/> Foreign National			
5. a. PAN								b. Aadhaar Number, if any :											
6. Specify the proof of Identity submitted:																			

B. ADDRESS DETAILS

1. Residence Address																				
	City :				State :				Country:				PIN CODE:							
2. Contact Details	Tel. (Off.)						Tel. (Res.)						Mobile No.							
	Fax No.						Email id :													
3. Specify the proof of Address submitted for Residence Address :																				
4. Permanent Address (If different From above)																				
	City :				State :				Country:				PIN CODE:							

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.

Place:



Date:

Signature of Applicant

For Office Use Only

Originals verified & Self-Attested Document copies received

For **FORTUNE CAPITAL SERVICES PRIVATE LIMITED**

Authorised Signatory

Date

Seal/Stamp of the Intermediary

TRADING ACCOUNT RELATED DETAILS



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

Bank Name		Bank A/C Type	<input type="checkbox"/> Savings / <input type="checkbox"/> Current /															
Bank A/C Number*			<input type="checkbox"/> Others-in case Of NRI/NRE/NRO															
Bank Branch Address																		
MICR	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td> </tr> </table>																RTGS/NEFT/IFSC	

Bank Name		Bank A/C Type	<input type="checkbox"/> Savings / <input type="checkbox"/> Current /															
Bank A/C Number			<input type="checkbox"/> Others-in case Of NRI/NRE/NRO															
Bank Branch Address																		
MICR	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td><td style="width: 5%;"></td> </tr> </table>																RTGS/NEFT/IFSC	

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

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

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

C. TRADING PREFERENCES:

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

Exchanges	Name of the Segment	Signature
NSE	Capital Market (Cash)	5 30
NSE	Futures & Options (F&O)	6 30
NSE	Currency Derivatives (CDS)	7 30
BSE	Capital Market (Cash)	8 30
BSE	Futures & Options (F&O)	9 30
BSE	Currency Derivatives (CDS)	10 30

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-BROKERS AND OTHER STOCK BROKERS :

If client is dealing through the sub-broker, provide the following details :			
Sub Broker Name	SEBI Registration No.	Registered Office Address	Phone / Fax Details
Whether dealing with any other Stock Brokers/ Sub Brokers If Yes, give details (Please Provide details of all)			<input type="checkbox"/> Yes <input type="checkbox"/> No
Stock Broker Name	Sub Broker Name	Exchange	Client Code
Details of disputes/dues pending from / to such stock broker/sub-broker :			

F. ADDITIONAL DETAILS :

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

OTHER DETAILS
1. Gross Annual Income Details (please specify) :

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

G. Investment /Trading Experience	No Prior Experience <input type="checkbox"/>	_____ years in Capital Market
	_____ Years in other Investment related field	

H. INTRODUCER DETAILS (Optional) :

Name of the Introducer	
Status of the Introducer	<input type="checkbox"/> Authorized Person / <input type="checkbox"/> Existing Client / <input type="checkbox"/> Others, please specify:
Address of the Introducer	
Phone no. of the Introducer	
Signature of the Introducer	

I. NOMINATION DETAILS :

<input type="checkbox"/> I /WE WISH TO NOMINATE <input type="checkbox"/> I /WE DO NOT WISH TO NOMINATE			
Name of the Nominee			
Relationship with the Nominee			
PAN of Nominee		D.O.B. of Nominee	
Address & Phone No. of the Nominee			

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

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

Name	:	Name	:
Signature	:	Signature	:
Address	:	Address	:
	:		:

DECLARATION

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

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

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



Place : _____

Date : _____

Signature of Client

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

--

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

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

For FORTUNE CAPITAL SERVICES PRIVATE LIMITED

Authorised Signatory

Date

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **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.

TARIFF SHEET TRADING ACCOUNT

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

Trading Client ID _____

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

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

Schedule of Charges:

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

Signature  







Client Name _____

Date _____

VOLUNTARY ADDITIONAL TARIFF SHEET – TRADING ACCOUNT

In addition to the CHARGES mentioned in the Tariff Sheet, the following service charges will be levied, if the Services opted by the Client.
 Please sign in the relevant boxes where you wish to opt the additional services and not chosen should be struck off by the client.

Trading Client ID _____

Other Services	Option Opted	Signature of the Client
In addition to Digital Contract, if the client requires Physical Contract Note shall be charged @ Rs.50/- per Exchange per Day.	Yes <input type="checkbox"/> No <input type="checkbox"/>	 13 30
Call & Trade /Offline Trade : Equity Intraday, FAO & Currency Futures – Rs.50/- per executed order or 0.01% of turnover whichever is lower. Equity Delivery - Rs.50/- per executed order or 0.1% of turnover whichever is lower. Options (Future & Currency) - Rs.20/- per executed order.	Yes <input type="checkbox"/> No <input type="checkbox"/>	 14 30
Payment Gateway facility is available and charges of Rs.10/- per transaction plus Service Tax irrespective of the amount transferred in single transaction	Yes <input type="checkbox"/> No <input type="checkbox"/>	 15 30
Other Levies (Clearing Member Charges & Other Charges): Will be Charged in Ledger CM Intraday- 0.00165% + Service Tax CM Delivery- 0.1% + Service Tax FAO Future - 0.0030% + Service Tax FAO Options - 0.03% + Service Tax CD Future - 0.00325% + Service Tax CD Options - 0.04% + Service Tax	Yes <input type="checkbox"/> No <input type="checkbox"/>	 16 30
SMS Charges - Rs.100/- per month	Yes <input type="checkbox"/> No <input type="checkbox"/>	 17 30
Debit my trading account for Application charges.	Physical Forms - Rs. 350/- <input type="checkbox"/> Print the form from PDF - Rs. 300/- <input type="checkbox"/>	 18 30

Signature  19
30

Client Name _____

Date _____

TARIFF SHEET TRADING ACCOUNT

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

Trading Client ID _____

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

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

Schedule of Charges:

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

Signature  







Client Name _____

Date _____

VOLUNTARY ADDITIONAL TARIFF SHEET – TRADING ACCOUNT

In addition to the CHARGES mentioned in the Tariff Sheet, the following service charges will be levied, if the Services opted by the Client. Please sign in the relevant boxes where you wish to opt the additional services and not chosen should be struck off by the client.

Trading Client ID _____

Other Services	Option Opted	Signature of the Client
In addition to Digital Contract, if the client requires Physical Contract Note shall be charged @ Rs.50/- per Exchange per Day.	Yes <input type="checkbox"/> No <input type="checkbox"/>	 13 30
Call & Trade /Offline Trade : Equity Intraday, FAO & Currency Futures – Rs.50/- per executed order or 0.01% of turnover whichever is lower. Equity Delivery - Rs.50/- per executed order or 0.1% of turnover whichever is lower. Options (Future & Currency) - Rs.20/- per executed order.	Yes <input type="checkbox"/> No <input type="checkbox"/>	 14 30
Payment Gateway facility is available and charges of Rs.10/- per transaction plus Service Tax irrespective of the amount transferred in single transaction	Yes <input type="checkbox"/> No <input type="checkbox"/>	 15 30
Other Levies (Clearing Member Charges & Other Charges): Will be Charged in Ledger CM Intraday- 0.00165% + Service Tax CM Delivery- 0.1% + Service Tax FAO Future - 0.0030% + Service Tax FAO Options - 0.03% + Service Tax CD Future - 0.00325% + Service Tax CD Options - 0.04% + Service Tax	Yes <input type="checkbox"/> No <input type="checkbox"/>	 16 30
SMS Charges - Rs.100/- per month	Yes <input type="checkbox"/> No <input type="checkbox"/>	 17 30
Debit my trading account for Application charges.	Physical Forms - Rs. 350/- <input type="checkbox"/> Print the form from PDF - Rs. 300/- <input type="checkbox"/>	 18 30

Signature  19
30

Client Name _____

Date _____

Letter of Authorization for Electronic Contract Notes

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

Dear Sir,

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

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

(enter E-mail ID)

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

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

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

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

Yours faithfully,

Signature  20/30

Client Name _____

Date _____

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

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

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

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

- a) For the purpose of the above, the email id used would be the same as provided by the client in the Client Registration Form at the time of opening of an account or email id subsequently notified by the client in writing. Any change in the email id of the client shall be immediately intimated by the client to FCSPL.
- b) The client shall access the contract notes / confirmations of the trades executed on his behalf on the trade date electronically. The client understands that it is his responsibility to review all confirmations, contract notes and other communications including but not limited to margin and maintenance calls etc., All information contained therein shall be binding on the client if the client does not object, either in writing or electronic mail within 24 hours after any such documents are available to the client.
- c) Should the client experience any difficulty in opening a document electronically delivered by FCSPL, FCSPL may, on receipt of intimation from the client in that behalf, make the required delivery by any other electronic means (e-mail, electronic mail attachment or in the form of an available download from the back-office website) or in paper based format. Failure to advise FCSPL of such difficulty within twenty four (24) hours after delivery shall serve as an affirmation that client was able to receive and open the said document. The client hereby agrees to pay all such amounts that FCSPL may charge to cover the operational costs that FCSPL incurs in preparing and delivering the said communication, confirmation, contract notes, documents, reports and alerts.
- d) The client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password. Unless the client lodges a complaint with FCSPL as to his inability to access the system, it would be presumed that contract notes and all other documents have been properly delivered to the client.
- e) The client agrees that FCSPL fulfils its legal obligation to deliver to the client any such document if sent via electronic delivery and FCSPL has not received any report indicating bouncing back of such electronic delivery.
- f) The client shall complete the necessary formalities that are required under the provisions of the Information Technology Act, 2000 for getting the above facility. The client shall initially download the specified software or any other software specified by FCSPL from time to time on our computer and the same shall be used for receiving, viewing, storing the Electronic documents including but not limited to digital contract notes, bills. Ledgers, statements of funds and securities, collateral statements, daily margin statements, notices, reports, lettes, circulars, communications etc., that shall be sent by FCSPL from time to time in respect of the trades / transactions that have been executed by me / us through FCSPL.
- g) The client agrees not to receive the contract notes in paper form from FCSPL. Provided however that in case when FCSPL is not able to provide Contract Note to me / us through electronic medium due to any unforeseen events, FCSPL would ensure that the contract note is sent to me / us in physical form as per the time schedule stipulated in the bye-laws, Rules and Regulations of the Exchanges.
- h) The client agrees that as an alternative to the e-mail communication and / or in case of non-receipt of the electronic documents through e-mail he / she / they shall utilize the facility of accessing the website hosted by FCSPL to access the Electronic documents.

II) Statement of Account in Digital Format:

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

III) Copy of Client Registration Documents:

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

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

(enter E-mail ID)

- a. The client undertakes to change the initial password of such e-mail account upon first login. The client shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of such e-mail accounts. FCSP shall not be liable to or responsible for any breach of secrecy. Unless the client lodges a complaint with FCSP as to his / her / its inability to access the system, it would be presumed that the documents have been properly delivered. The client agrees that the Documents may be accessed by other entities in case the confidentiality / secrecy of the login name and password is compromised.
- b. The client agrees that FCSP shall not be responsible for non-receipt of Documents sent via electronic delivery due to change in / incorrect email address provided by the Client for the purpose or for any other reason which inter alia include insufficient space in the inbox of the client, technical reasons or malfunction of the clients computer system / server / internet connection etc., It shall be the responsibility of the client to intimate FCSP of any change in the client’s email accounts.
- c. FCSP shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof and shall not be liable for any problem which arises at the client’s computer network because of the client receiving any such statement from FCSP.
- d. FCSP agrees that in case of receipt of bounced back notification from all the email account(s), FCSP shall make required delivery by any other electronic means or available download from the back office website immediately thereafter. However the client agrees that FCSP shall not take cognizance of out of office / out of station auto replies and the client shall be deemed to have received such electronic mails.
- e. The client hereby agrees to intimate FCSP of any change in E-mail ID immediately.
- f. The client understands and agrees that FCSP shall be entitled to charge to the client fees / charges for sending such Documents. Such fees and charges shall be intimated to the client from time to time by FCSP.
- g. The client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that as a result of such unreliability, there are risks associated in using such means of communication including the congestion, breakdown, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delay in the transmission and receipt of data and information.
- h. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and / or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including client personal data. The client agrees that the stock broker shall not be liable / responsible for such matters and resultant losses under any circumstances.



Signature of Client

2. Order Placement Instructions:

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

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

3. PMLA Declaration:

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

I do not have any links with any known criminal.

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

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

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

5. Indemnification:

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

Indemnity of Joint Holdings:

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

6. No Market Manipulation:

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

7. Not Debarred by any Regulator:

I confirm and declare that there is no bar on me imposed by any Exchange or any Regulatory and / or Statutory authority to deal in securities directly or indirectly. I agree to inform FCSPL, in writing, of any regulatory action taken by any Exchange or Regulatory / Statutory authority on me in future. In case, I fail to inform the same and FCSPL on its own comes to know of such

action, FCSPL has the right to suspend / close my trading account and refuse to deal with me. Also, FCSPL can at its sole discretion, close all the open positions and liquidate collaterals to the extent of debit balances, without any notice to me.

8. Errors & Omissions:

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

9. Mutual Fund Service System (MFSS) Facility:

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

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

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



Signature of Client

SETTLEMENT OF FUNDS & SECURITIES

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

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

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



Signature of Client

Client Name :

Date :

Maintenance of Running A/c.- Letter of Authority

To

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

Dear Sir,

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

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

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

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

Quarterly **Monthly**

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

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

Yours faithfully,

Signature 

Client Name _____

Date _____

MOBILE DECLARATION

Declaration for Mobile Number

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

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

Signature  25
30

Client Name _____

CLIENT DEFAULTER DECLARATION

I _____ having PAN No. _____ do hereby declare that I have not been involved in any terrorist activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI / Exchanges / Regulatory bodies etc.,

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

Signature  26
30

Client Name _____

LIEN & SET – OFF

To,

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

Dear Sir,

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

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

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

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

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

Signature 

Client Name : _____

Address : _____

SELF DECLARATION DERIVATIVES TRADING (VOLUNTARY)

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

From:

Mr./Mrs./Ms:

Date: _____

To

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

Dear Sir/Madam,

Sub: Self-Declaration on Income and Net-Worth furnished pursuant clause 47 of MCA.

Ref: Application No. / Client Code: _____ submitted for registration for trading and investments.

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

1. I have been allotted the PAN: _____, a self-attested copy of which has been submitted to you as one of the mandatory KYC documents.
2. For the Financial Year ending 31st March _____, my Annual Income was approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
3. As on date _____, my net-worth is approximately Rs. _____ for which, except this Self-declaration Letter, no other documentary proof is provided to you.
4. I further declare that the transactions I am entering into with you in the above trading account is commensurate with my Income and Net Worth and I am fully aware of risks associated with these transactions.
5. The ownership and risk of justification and substantiating regarding the above declaration with any of the Statutory Authorities/ Agencies will be my Own.

Signature  

Client Name : _____

Date : _____

ACKNOWLEDGEMENT

To

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

Dear Sir,

This is to acknowledge the receipt of following documents.


I further state and confirm that I have read and understood all the clauses of aforesaid document.

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Fortune Capital Services Pvt. Ltd.,

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

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

Yours faithfully,


Client Signature :  29/30

Name of the Applicant : _____

Date:

AUTHORIZATION FOR ACCOUNT MODIFICATION REQUESTS

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

Signature:  30/30

VOLUNTARY SETTLEMENT OF FUNDS & SECURITIES

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

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

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

Signature 

Client Name : _____

Date : _____

CHECK LIST

Sl. No.	Details	Checked By	Checked By	Checked By
1.	Signature across Photograph			
2.	Signature in 30 Places			
3.	Clear & Legible ID Proof (Self attested)			
4.	Clear & Legible Address proof (Self attested)			
5.	Clear & Legible Bank Account Proof (Self attested) / Cancelled cheque leaf with IFSC Code duly signed			
6.	Clear & Legible Xerox copy of PAN card (Self attested)			
7.	Clear & Legible Financial Proof			

FOR OFFICE USE ONLY

MAPPING

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

Data Entered in System by

Name :	Signature :
--------	-------------

Date : _____

From

To,

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

Dear Sir,

SUB : Transferring shares to Margin Account purchased through you.

REF : Trading Code _____

With reference to the above, I hereby request you to kindly transfer and hold the shares purchased by me in **your Margin Account 1601480000450970** as margin. I request you to kindly consider the stocks as Margin and provide the exposure for trading as per your RMS Policy / Company Norms till the settlement (quarterly or monthly) of transfer is due as opted by me. I will not hold you responsible for any benefits announced by the companies during such period and liquidation for debit in the trading account. I request you to kindly consider my request and please do the needful and confirm.

Thanking You

Yours faithfully,



Signature

Client Name : _____

From,

Date:

To,
M/S Fortune Capital Services Private Ltd
No 905, First Floor, Soundarya Colony,
(Syndicate Bank Colony),
Anna Nagar West Extension, Chennai 600 101.
Ph.No:044-45609696

Dear Sir,

SUB: Name Declaration

This is with reference to consideration of my Name for activation of my NSE Account. As per the documents given below, my name varies in each of these documents. I hereby confirm that all the names are representing me only and request you to kindly activate the NSE account as per PAN CARD.

PROOF OF DOCUMENT	NAME ON PROOF
PAN No.	
PAN CARD	
BANK PROOF	
ADDRESS PROOF	
IDENTITY PROOF	

I would like to inform you that my complete and correct name is

Yours faithfully,

TARIFF SHEET TRADING ACCOUNT

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

CHARGE HEAD	Opted Scheme / Plan	Amount	Signature of the Client
Un-limited Trading in Capital Market - Cash, Futures & Options and Currency Futures and Options	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half-Yearly <input type="checkbox"/> Annually	Brokerage Charges of ** Rs. _____ or 2.5% Brokerage on Turnover which ever is lower on Calendar Month basis.	<input checked="" type="checkbox"/>

** Maximum Brokerage as stipulated by the Exchange will be levied until Rs. _____ has been reached. If you don't trade in a particular calendar month, we will not charge you for the particular month.

In addition to the above subscription charges, the following charges will also be levied.

Schedule of Charges:

- 1) STT, Service Tax, Education and Higher Education Cess as applicable will be levied
- 2) Exchange and Clearing Member charges & Other Levies as applicable from time to time.
- 3) Stamp Duty - state wise stamp duty as applicable will be levied
- 4) SEBI charges @0.0001% on total turnover
- 5) Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,

Other Terms & Conditions:

1. The Opted Scheme / Plan with the amount mentioned above is upfront on Calendar Month basis. Once opted and applied will not be refundable.
2. The opted Scheme / Plan will be renewed every calendar month automatically. If the client wants to migrate the scheme has to inform us before the end of the month.
3. Trading is subject to availability of margin.

Signature _____

Client Name : _____

Client Code : _____

Date : _____