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	C. Details are required for adhering to "Know Your Client" for opening a DEMAT Account		
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RISK DISCLOSURE DOCUMENT (RDD)	Document detailing risks associated with dealing in the securities market.		
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<p><b>DISCLOSURE INTERMSOFSEBI CIRCULAR NO. SEBI/MRD/SE/CIR-42/2003DATEDNOVEMBER19, 2003 FRR SHARES AND SECURITIES LIMITED.</b> caters to Institutional, Corporate, High networkth and other retail clients through membership of various exchanges.</p> <p><b>FRR SHARES AND SECURITIES LIMITED.</b> besides doing client based business also does its own investment and/or trading.</p> <p align="right">"Proprietary Trading Disclosure noted"</p> <p>Client Name : Signature of Client : (1/28)</p>			
<b>FATCA / CRS Declaration / Self Certification For Individual</b>			
	First/Sole Holder	Second Holder	Third Holder
Are you US Person	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of citizenship	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Signature (2/2)</b>			

## KYC CHECKLIST

Acceptable Documents should be clearly visible (Copies of all documents to be self attested)

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

PAN Card	Account Holder & Joint Holder's (If any)
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)
Additional Proof of Identity (Any One) (If Pan card not visible OR Pan card sign & signature in KYC form are different)	1. Unique identification number (UID) (Aadhaar)
	2. Valid Passport and Driving License (Name, Address & Photo page)
	3. Voter ID (front and back)
	4. PAN Card
	5. NREGA Job Card
	6. Other (Pls. Specify)
Proof of Address (Any One) Permanent / Correspondence	1. Valid Passport and Driving License (Name, Address & Photo page)
	2. Voter ID (front and back)
	3. Unique identification number (UID) (Aadhaar)
	4. Bank Statement/Passbook (not more than 2 months old)
	5. Banker's Verification Letter
	6. Electricity or Resident Landline Tel. Bill (not more than 2 months old)
	7. Registered Flat Sale Agreement of Residence or Registered Lease/Leave & License Agreement
	9. Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address
	10. Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies
Bank Proof With MICR / IFSC Code (1st Holder only)	1. Bank Statement / Bank Passbook with cheque leaf (not more than 2 months old)
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)
	3. Cancelled Personalized Cheque leaf
Demat Proof (1st Holder only)	1. Client Master
	2. DP Statement
	3. Transaction cum Holding Statement
	4. Welcome Letter
Proof of Income (Any One) (Mandatory for F&O / Currency Segments/ Commodity Derivatives Segment )	1. Copy of Latest ITR Acknowledgement
	2. Copy of Form16 or Salary Slip (not more than 3 months old)
	3. CA Certified Net-worth certificate with UDIN (not more than 1 year old)
	4. Copy of Latest Demat Account Holding Statement
	5. Bank Account Statement for last 6 months

### IMPORTANT INSTRUCTIONS

1. All details to be filled in Capital Block letters in Black / Blue Ink Only.
2. Email ID & Mobile number is very important for account related passwords and transaction details.
3. Corrections in the KYC form should be counter signed.
4. All Originals to be produced for physical verification.
5. Sole proprietor must make the application in his individual name & capacity.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. Account will be opened as per Name appearing on Income Tax website

A. IDENTITY DETAILS			
1) NAME OF THE APPLICANT (AS PER PAN CARD):		PLEASE AFFIX A RECENT PASSPORT PHOTOGRAPH AND <b>SIGN ACROSS IT</b> (3/28)	
2. A) FATHER'S/SPOUSE NAME:			
2. B) MOTHER'S NAME:			
3. A) GENDER: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender			
3. B) MARITAL STATUS: <input type="checkbox"/> Single <input type="checkbox"/> Married			
3. C) DATE OF BIRTH: __/__/____			
4. A) NATIONALITY: <input type="checkbox"/> INDIAN <input type="checkbox"/> OTHERS			
4. B) RESIDENTIAL STATUS: <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident (NRI) <input type="checkbox"/> Foreign National <small>(Passport Mandatory For NRIs, PIOs And Foreign Nationals)</small>			
5. A) PAN:		5. B) AADHAAR NO.:	
6. PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES: <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License <input type="checkbox"/> Others			
B. ADDRESS DETAILS			
1. ADDRESS FOR CORRESPONDENCE (RESIDENCE): _____			
LANDMARK:	CITY:	DISTRICT:	
PIN CODE:	STATE:	COUNTRY:	
2. CONTACT DETAILS			
TEL. (OFFICE):		TEL (RESIDENCE):	
MOBILE:		EMAIL:	
3. SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/CORRESPONDENCE ADDRESS:			
4. PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS (MANDATORY) FOR NON-RESIDENT APPLICANT.			
LANDMARK:	CITY:	DISTRICT:	
PIN CODE:	STATE:	COUNTRY:	
5. SPECIFY THE PROOF OF ADDRESS SUBMITTED FOR RESIDENCE/PERMANENT ADDRESS:			
6. DETAILS OF RELATED PERSON:			
<input type="checkbox"/> Addition of Related Person <input type="checkbox"/> Deletion of Related Person <input type="checkbox"/> KYC Number of Related Person (if available)			
Related Person Type: <input type="checkbox"/> Deletion of Related Person <input type="checkbox"/> Assignee			
Name:			
(If KYC Number and name are provided, below details of section 6 are optional)			
PROOF OF IDENTITY [POI] OF RELATED PERSON:			
<input type="checkbox"/> UID (Adhaar) <input type="checkbox"/> PAN Card <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving Licence <input type="checkbox"/> Passport <input type="checkbox"/> Others			
DECLARATION		SIGNATURE OF APPLICANT	
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/We am/are aware that I/we may be held liable for it. I/We hereby consent to receiving information from KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digi locker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.		(4/28)	
PLACE:	DATE: __/__/____		
FOR OFFICE USE ONLY		IPV Done on	
FRR Shares and Securities Limited		STAFF NAME	Seal/Stamp Intermediary
<input type="checkbox"/> (Originals Verified) & Self-Certified document Copies Received		EMPLOYEE CODE	
<input type="checkbox"/> Attested True Copies Of Documents Received Main Intermediary		DESIGNATION	
Name & Signature of the Authorized Signatory		NAME OF THE ORGANIZATION	
		SIGNATURE	

**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

**TO BE FILLED BY THE BY DEPOSITORY PARTICIPANT**

APPLICATION NUMBER:		DATE:	
DP INTERNAL REFERENCE NUMBER:		UCC:	
DP ID:		BO ID:	

**TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)**

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

**HOLDER DETAILS**

I/we request you to open a DEMAT account in my/our name as per following details: sole/first holder's name

<b>SOLE/FIRST HOLDER'S NAME</b>			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 13972 & BSE: 6207
<b>SECOND HOLDER'S NAME</b>			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 13972 & BSE: 6207
<b>THIRD HOLDER'S NAME</b>			
PAN		UID	
UCC CODE		EXCHANGE NAME & ID	NSE: 13972 & BSE: 6207

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

**DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)**

<b>GUARDIAN'S NAME:</b>			
<b>PAN NUMBER:</b>		<b>RELATIONSHIP WITH THE APPLICANT:</b>	

**STANDING INSTRUCTIONS**

I/We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes')
<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')
<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID
<input type="checkbox"/> Yes <input type="checkbox"/> No EMAIL: _____
I/We would like to share the email ID with the RTA
<input type="checkbox"/> Yes <input type="checkbox"/> No EMAIL: _____
I/We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical)
<input type="checkbox"/> PHYSICAL <input type="checkbox"/> ELECTRONIC <input type="checkbox"/> BOTH PHYSICAL AND ELECTRONIC
I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS (If not marked, the default option would be 'Yes')[ECS is mandatory for locations notified by SEBI from time to time]
<input type="checkbox"/> Yes <input type="checkbox"/> No

	SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
<b>SIGNATURE OF CLIENT: (5/28)</b>			

**ANNEXURE****MANDATORY****TRADING & DEMAT ACCOUNT RELATED DETAILS****A. BANK ACCOUNT DETAILS(DIVIDEND BANK DETAILS)**

ACCOUNT NO.			
BANK NAME			
BRANCH ADDRESS			
MICR CODE			
IFSC CODE			
ACCOUNT TYPE	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others
	IN CASE OF NRI ACCOUNT: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

**B. DEPOSITORY ACCOUNT DETAILS**

DEPOSITORY PARTICIPANT DETAILS OF THE CLIENT			
<b>DP NAME</b>	<b>DP ID</b>	<b>BENEFICIARY ACCOUNT NO.</b>	<b>BENEFICIARY NAME</b>
FRR Shares and Securities Limited	12068100		

**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.

<b>EXCHANGE</b>	<b>CASH</b>	<b>F&amp;O</b>	<b>CURRENCY DERIVATIVE</b>	<b>Mutual Fund</b>
<b>NSE/BSE</b>	(6/28)	(7/28)	(8/28)	(9/28)

#If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter have to be submitted by client to the stock broker..

**D. PAST ACTION**

DETAILS OF ANY ACTION/PROCEEDINGS INITIATED/PENDING/TAKEN BY SEBI/STOCK EXCHANGE/ANY OTHER AUTHORITY AGAINST THE APPLICANT/CONSTITUENT. (IF YES, PLEASE GIVE DETAILS) :

**E. DEALINGS THROUGH AUTHORIZED PERSON (herein referred as AP) AND OTHER STOCK BROKERS:**

IF CLIENT IS DEALING THROUGH THE AP, PROVIDE THE FOLLOWING DETAILS:

AP NAME:	SEBI REG. NO.:
REGISTERED OFFICE ADDRESS:	
PHONE:	WEBSITE:
<b>WHETHER DEALING WITH ANY OTHER STOCK BROKER/AP (IF IN CASE DEALING WITH MULTIPLE STOCK BROKERS/AP PROVIDE DETAILS OF ALL):</b>	
NAME OF STOCK BROKER:	AP IF ANY:
CLIENT CODE:	EXCHANGE:
DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH STOCK BROKER/AP:	

**F. ADDITIONAL DETAILS**

WHETHER YOU WISH TO RECEIVE  Physical Contract Note OR  Electronic Contract Note (ECN)

IF ECN SPECIFY YOUR EMAIL ID:

WHETHER YOU WISH TO AVAIL OF THE FACILITY OF INTERNET TRADING:  Yes  No'

**G. INTRODUCER DETAILS (Optional)**

NAME OF THE INTRODUCER:			
ADDRESS OF THE INTRODUCER:			
STATUS OF THE INTRODUCER:	<input type="checkbox"/> Remisier	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Existing Client
	<input type="checkbox"/> Employee		
	<input type="checkbox"/> Others, please specify:		
MOBILE NUMBER:		SIGNATURE OF THE INTRODUCER:	

H. OTHER DETAILS - INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002			
<b>1. GROSS ANNUAL INCOME DETAILS</b>	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs		
NET-WORTH IN RS. :	Net-worth in Rs. :		
	as on (date): __/__/20__	* Net worth should not be older than 1 year	
<b>2. OCCUPATION</b>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others		
PLEASE TICK AS APPLICABLE:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)		
ANY OTHER INFORMATION:			
<b>3. EXPERIENCE</b>	(Number of years of Investment/Trading Experience)		
<b>4. PURPOSE OF OPENING THE ACCOUNT:</b>	<input type="checkbox"/> Investment <input type="checkbox"/> Trading <input type="checkbox"/> Arbitrage		
DECLARATION			
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it. 2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet. 3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.			
DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH STOCK BROKER/AP:			
PLACE:		Signature of Client: (11/28)	
DATE:			
FOR OFFICE USE ONLY			
<b>UCC ALLOCATED TO THE CLIENT:</b>			
	<b>DOCUMENTS VERIFIED WITH ORIGINALS</b>	<b>CLIENT INTERVIEWED BY</b>	<b>IN-PERSON VERIFICATION DONE BY</b>
NAME OF THE EMPLOYEE			
EMPLOYEE CODE			
DESIGNATION OF THE EMPLOYEE			
DATE			
SIGNATURE			
We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. We have also made the client aware of 'Rights and Obligations' document (s), Risk Disclosure Document (RDD) and Guidance Note. We have given/sent him/her a copy of all the KYC documents. 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. We also undertake that any change in the 'Rights and Obligations' and Risk Disclosure Document (RDD) would be made available on our website, if any, for the information of the clients.			
Signature of the Authorized Signatory			
Date:		Seal/Stamp of the Stock Broker	

## OPTION FOR ISSUANCE OF DELIVERY INSTRUCTION SLIP (DIS) BOOKLET

VOLUNTARY

	DATE:	
DPID:	CLIENT ID:	
NAME OF THE SOLE/FIRST HOLDER:		
NAME OF THE SECOND HOLDER:		
NAME OF THE THIRD HOLDER:		
Option 1	<input type="checkbox"/> I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA) in favour of FRR Shares and Securities Limited for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.	
Option 2	<input type="checkbox"/> I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/DDPI/registered for eDIS in favour of FRR Shares and Securities Limited for executing the delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Clearing Member/or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my / our request at any later date.	
<b>BASIC SERVICES DEMAT ACCOUNT (BSDA) CONFIRMATION</b> (Note: If opted client should sign BSDA Tariff Sheet separately)		<input type="checkbox"/> I/We wish to opt for BSDA <input type="checkbox"/> I/We do not wish to opt for BSDA till my further instructions from my side
<b>EASI</b>		
To register for Easi please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> EASI allows a BO to view his ISIN balances, transactions and value of the portfolio online.		
<b>SMS ALERT FACILITY</b>		
Refer to Terms & Conditions given as <b>Annexure - 2.4</b> MOBILE NO.+91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option).		
<b>BSE STAR MFSS /NSE MFSS</b>		
I/We am/are registered as your client with Unique Client Code No. _____ and have executed the "Trading Member and Client Agreement" for the purpose of trading in the Capital Market segment of Bombay Stock Exchange Ltd. (BSE)/National Stock Exchange Ltd. (NSE).		
I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF/NSE MFSS		
For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stockbroking may be considered for the purpose of BSE STAR MF/NSE MFSS, and I/we further confirm that the details contained in the same remain unchanged as on date.		
I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009, and as may be specified by the Exchange from time to time in this regard.		
I/We shall ensure also compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).		
I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.		
I/we, therefore, request you to register me/us as your client for participating in BSE STAR MF/NSE MFSS.		
Signature of Client: (13/28)		

NOMINATION FORM						MANDATORY	
<b>FRR Shares and Securities Limited</b>				<b>FORM FOR NOMINATION</b> <i>(To be filled in by individual applying singly or jointly)</i>			
DATE		UCC		DP ID		Client ID	
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]							
<b>NOMINATION DETAILS</b>							
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.							
Nomination can be made up to three nominees in the account		<b>DETAILS OF 1<sup>ST</sup> NOMINEE</b>		<b>DETAILS OF 2<sup>ND</sup> NOMINEE</b>		<b>DETAILS OF 3<sup>RD</sup> NOMINEE</b>	
1.	NAME OF THE NOMINEE(S) MR./MS.)						
2.	SHARE OF EACH NOMINEE	EQUALLY [IF NOT EQUALLY, PLEASE SPECIFY PERCENTAGE]					
ANY ODD LOT AFTER DIVISION SHALL BE TRANSFERRED TO THE FIRST NOMINEE MENTIONED IN THE FORM.							
3.	RELATIONSHIP WITH THE APPLICANT (IF ANY)						
4.	ADDRESS OF NOMINEE(S)  CITY / PLACE: STATE & COUNTRY:						
	PIN CODE:						
5.	MOBILE/TELEPHONE NO. OF NOMINEE(S)						
6.	EMAIL ID OF NOMINEE(S)						
7.	NOMINEE IDENTIFICATION DETAILS [PLEASE TICK ANY ONE OF FOLLOWING AND PROVIDE DETAILS OF SAME]						
	<input type="checkbox"/> PHOTOGRAPH & SIGNATURE						
	<input type="checkbox"/> PAN						
	<input type="checkbox"/> AADHAAR						
	<input type="checkbox"/> SAVING BANK A/C NO.						
	<input type="checkbox"/> DEMAT ACCOUNT ID						
SR. NOS. 8-14 SHOULD BE FILLED ONLY IF NOMINEE(S) IS A MINOR:							
8.	DATE OF BIRTH {IN CASE OF MINOR NOMINEE(S)}						
9.	NAME OF GUARDIAN (MR./MS.) {IN CASE OF MINOR NOMINEE(S)}						
10.	ADDRESS OF GUARDIAN(S)  CITY / PLACE: STATE & COUNTRY:						
	PIN CODE						
11.	MOBILE / TELEPHONE NO. OF GUARDIAN						
12.	EMAIL ID OF GUARDIAN						
13.	RELATIONSHIP OF GUARDIAN WITH NOMINEE						
14.	GUARDIAN IDENTIFICATION DETAILS –[PLEASE TICK ANY ONE OF FOLLOWING AND PROVIDE DETAILS OF SAME]						
	<input type="checkbox"/> PHOTOGRAPH & SIGNATURE						



FRR SHARES AND SECURITIES LIMITED

<input type="checkbox"/> PAN			
<input type="checkbox"/> PROOF OF IDENTITY			
<input type="checkbox"/> DEMAT ACCOUNT ID			

	NAME(S) OF HOLDER(S)	SIGNATURE(S) OF HOLDER* (16/28)
SOLE/FIRST HOLDER (MR./MS.)		
SECOND HOLDER (MR./MS.)		
THIRD HOLDER (MR./MS.)		

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

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

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

**DECLARATION FORM FOR OPTING OUT OF NOMINATION**

To,	<b>Date</b>	
<b>FRR Shares and Securities Limited.</b>		
<b>UCC/DP ID</b>	/	<b>12068100</b>
CLIENT ID (ONLY FOR DEMAT ACCOUNT)		
SOLE/FIRST HOLDER NAME		
SECOND HOLDER NAME		
THIRD HOLDER NAME		

I/We hereby confirm that I/we do not wish to appoint any nominee(s) in my/our trading/DEMAT account and understand the issues involved in non-appointment of nominee(s) and further I/we am/are aware that in case of death of all the account holder(s), my/our legal heirs would need to submit all the requisite documents/information for claiming of assets held in my/our trading/DEMAT account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading/DEMAT account.

**Name and Signature of Holder(s)\***

(14/28) 1.	2.	3.
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\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

Name and address		
1.	2.	3.

**TARIFF SHEET**

**MANDATORY**

CHARGE HEAD	CHARGES (Individual)
Account Opening	FREE
AMC	<input type="checkbox"/> Rs. 400 (Yearly) <input type="checkbox"/> Rs. 1200/- (One time)
DDPI	Rs. 500/- (One Time only)
Transaction Charges Market Sell	Rs.50/- Per Scrip (Irrespective of Quantity)
KRA Modification Charges	KRA Upload/ Download: Rs. 35/-
Transaction Charges Off- Market Outward	Rs.50/- Per Scrip (Irrespective of Quantity)
Failed Instruction	Rs.50/- Per ISIN / Transaction
Pledge And Unpledge	Rs.25/- Per ISIN / Transaction
Revoke	Rs.25/- Per ISIN / Transaction
Pledge Creation / Closure or Invocation	Rs.25/- Per ISIN / Transaction
DEMAT Charges	Rs 35/- Per Certificate & Rs.100 Courier Charges
REMAT Charges	A Flat Fee of Rs 50/- per certificate for every 100 Securities +Rs. 100/- Courier Charges
Delivery Instruction Slip Book	DIS Booklet (5 Leaves): Rs.75/- + Rs. 100/- Courier Charges
Periodic Statement (Email)	FREE
Periodic Statement (Physical)	Rs. 10/- Per Page + Rs. 100/- Courier charges
Ad-hoc Statement	Rs. 10/- Per Page + Rs. 100/- Courier charges
Account Modification Charges	Modification in CML: Rs.30/- Per Request

**BROKERAGE DETAILS**

	CASH SEGMENT		F&O FUTURE			CURRENCY FUTURE			F&O OPTION			CURRENCY OPTION		
	Min (Paise)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)	Min (Paise)	Min Per Lot (Rs.)	Max (%)
One Side														
Both Side														
Delivery Brokerage														

1. Inter settlement arising out of purchase and sale transactions affected by constituent shall be debited to constituent account.
2. Statutory and exchange charges:
  - a. Securities Transaction Charges, SEBI Turnover Fee, Transaction Charges shall be levied as per the prevailing rate;
  - b. Statutory levies including but not limited to GST & Stamp duty shall be levied as per the prevailing rate;
  - c. The above rates as subject to change by the regulatory Authorities and Government Agencies
3. Charges for the issues of Duplicate Contract, Bill, Statements, etc Rs 50/- per document type.
4. Cheque bounce / stop payment charges RS 500/- + Tax per cheque
5. Brokerage shall not exceed maximum permissible limit as per rules & regulations of Exchange / SEBI.
6. Delay Payment Charges on Outstanding bill amount if not paid within Due Date: 1.5 % Per month.
7. Delivery handling charges will be 50/- Per scrip
8. Instant Live SMS charges will be Rs 50/- per month
9. Online trading charges will 50/- Rs. per trade.
10. Call & Trade, RMS Square off charges will be 50/- Rs. per trade
11. Margin Collateral Charges @ 1% per month will be charges for all exchange segments

DP Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. Annual Maintenance Charge (AMC) is non-refundable. GST, Education Cess and Higher Education Cess applicable on all above charges except stamp charges.

Signature of Client: (15/28)

**MANDATORY****POLICIES AND PROCEDURES FOR CLIENT DEALINGS****A. REFUSAL OF ORDERS FOR PENNY STOCKS:**

The broker reserves its right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. They will not be held responsible for any loss of opportunity by the client

**B. SETTING UP CLIENT'S EXPOSURE LIMIT:**

The Client is aware and agrees that the trading exposure limit provided to each client may not be of the same multiple, and it is the discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek up to 100% margin before accepting any order

**C. BROKERAGE RATE:**

Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange and at the value which is mutually agreed between the Client and the broker

**D. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES, SPECIFYING THE RATE AND THE PERIOD NOT RESULTING IN FUNDING BY THE BROKER IN CONTRAVENTION OF THE APPLICABLE LAWS:**

The Client has executed a 'Running account authorization' in favor of the broker with the intent to have a ready margin to meet his or her/their trading needs. No interest is payable by the broker on credit balances if any. The broker is not into the business of funding client positions, delayed payment will be charged of 1½% per month

**E. THE RIGHT TO SELL CLIENT'S SECURITIES OR CLIENT'S POSITIONS, ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES (THIS SHALL BE LIMITED TO THE EXTENT OF SETTLEMENT/MARGIN OBLIGATION) :**

In the event of non-payment of settlement obligations, the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in a financial ledger or margin obligation

**F. CONDITIONS UNDER WHICH A CLIENT MAY NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE BROKER MAY CLOSE THE EXISTING POSITION OF A CLIENT :**

Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position.

**G. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements, etc. from the client-side, the broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to) :**

- (i) Failure to meet pay-in obligation on T+1 day,
- (ii) Delay in meeting the pay-in or margin requirement,
- (iii) Delay or failure in the clearance of outstanding or dues to the broker,
- (iv) Returning or frequent returning of cheque of the client,
- (v) Unnecessary / Unwarranted dispute from the client without any substantial cause/reason,
- (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without the involvement of Exchange and/or SEBI.
- (vii) As per the prevalent RMS policy of the Broker,
- (viii) Any direction from SEBI/Exchange or such other authorities,
- (ix) Under such other circumstances as the Broker might think just and proper on case-to-case basis

**H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT BASED AT THE CLIENT'S REQUEST:**

The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in the following circumstances:

- a) As per Client's prior written request of at least 3 days submitted to broker at its Pune H.O. duly acknowledged by broker (Subject to clearance of entire outstanding/obligations),
- b) Dormant or in-active status of the client beyond specified time limit as may be prescribed by broker,
- c) Under any circumstances mentioned in (i) to (ix) above

**I. DEREGISTERING A CLIENT:**

Notwithstanding anything to the contrary stated in the mandatory and voluntary client registration documents, the stockbroker shall be entitled to terminate the mandatory and voluntary client registration documents, with immediate effect in any of :

- (i) Regulatory actions of the SEBI or any of its arms;
- (ii) Commencement of a legal process against the client under prevailing laws of the land;
- (iii) Death or lunacy or disability resulting in the inaction of the client.
- (iv) Breach of any term, condition or covenant of this mandatory & voluntary client registration documents
- (v) Detection of misrepresentation of facts by the client;
- (vi) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a received appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (vii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**J. TAPE RECORDING OF THE CONVERSATION**

The client is aware that the member may record the conversation between the client and the member

**K. DISPLAY OF POLICY AND OTHER INFORMATION ON THE WEBSITE OF MEMBER/ EXCHANGE/SEBI**

The client is aware that the policies/ procedures of the member and other information are regularly hosted on the website of the member and he shall ensure to keep himself updated with the same. The client also agrees to keep himself updated with the circulars hosted on the SEBI/ exchange website

The client is also aware that Investor grievance email ID, Policy & Procedures, Copy of Standard KYC, Risk Management Policy, Literature of AML requirement, Links to the website of SEBI and Stock Exchanges of which Stock Broker is a member, other Information that a trading member is required to furnish to his clients is hosted on member's website as well as available on-demand from member's office

**L. 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, synchronized 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, FRR Shares and Securities Limited (hereinafter referred as 'FRR') has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**M. 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, synchronized 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, FRR Shares and Securities Limited (hereinafter referred as 'FRR') has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**N. PMLA DECLARATION**

I/We declare that I/we have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by FRR officials. I/We further declare that I/we shall adhere to all the provisions of the PMLA Act, 2002

I/We further undertake and confirm that;

- a) I/We do not have any links with any known unlawful persons/institutions
- b) I/We am/are 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/we am/are a party to it. The investment money is derived from proper means and does not connect with the proceeds of crime nor am/are I/we a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

**O. THIRD-PARTY PAYMENTS**

FRR shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by FRR. FRR shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above

However, due to oversight, if any such third-party payment has been accepted by FRR and the credit for the same has been given in the client's ledger, FRR shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, FRR reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. FRR, its Directors and employees shall not be responsible for any consequential damages or losses

**P. DELIVERIES**

The client shall ensure that the shares are properly transferred to the designated DEMAT account of FRR, for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/FRR. In case the client fails to transfer the shares on time to FRR, FRR shall not be responsible for any loss/damages arising out of such delayed transfers

**Q. INDEMNIFICATION**

I/We hereby indemnify and hold FRR, its Directors, and employees harmless from and against all trade-related claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/or expenses that are occasioned or may be occasioned to FRR 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/us during the course of my/our dealings/operations on the Exchange(s) and/ or proof of address, identity and other supporting documents provided by me/us at the time of registration and/or subsequently.

**R. NO DEALINGS IN CAS**

FRR as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub Broker/Remisier/Employee/Authorized Person of FRR

**S. LOSS DUE TO TECHNICAL GLITCH/ANY ISSUE**

I/We agree that I/we will not be compensated by the broker for any loss opportunity viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the broker/ the Exchanges is operating, any shutting down by the broker of my/our system for any reason or the broker disabling me/us from trading on its system for any reason whatsoever.

Signature of Client: (16/28)

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING**

**MANDATORY**

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (ALL THE CLAUSES MENTIONED IN THE RIGHTS AND OBLIGATIONS' DOCUMENT(S) SHALL BE APPLICABLE. ADDITIONALLY, THE CLAUSES MENTIONED HEREIN SHALL ALSO BE APPLICABLE) CLIENT'S

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet-based trading/ securities using trading wireless technology as may be specified by SEBI & the Exchanges from time to time
2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet-based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's System IBT using the Client's Username and/ or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/ or his authorized representative are not revealed to any third party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.
8. The stock broker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology the stock broker shall send the order/ trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, nonavailability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges

SIGNATURE OF CLIENT: (17/28)

**SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES**

**MANDATORY**

Date:

To,  
**FRR Shares and Securities Limited**  
**205, Embassy Centre, Nariman Point, Mumbai – 400 021.**

CLIENT NAME UCC

MOBILE NO

EMAIL ID

CLIENT NAME UCC

I hereby declare that the aforesaid mobile number belongs to : \_\_\_\_\_

I hereby declare that the aforesaid E-mail ID belongs to : \_\_\_\_\_

I request you to update the same in my trading and DEMAT account and send all the Confirmations and other communication through SMS and E- mail ID.

Further, I hereby agree and undertake to indemnify and keep indemnified and save you against all claims/demands/penalties/suits/action or any loss or damages suffered or incurred as a consequence of such instruction.

Further, I authorize FRR Shares and Securities Limited that the same may be used for giving me any information/alert/SMS. I further declare the above-mentioned statement is true and correct.

Signature of Client: (18/28)

**CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS**

I/We hereby acknowledge receipt of the following documents:

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology-based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. FRR Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of FRR Shares and Securities Limited.
7. All other mandatory and voluntary client registration documents. 8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all above documents and these documents are binding upon me.

SIGNATURE OF CLIENT: (19/28)

**AUTHORISATION TO DEBIT TRADING ACCOUNT FOR THE DEMAT ACCOUNT CHARGES**

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

SIGNATURE OF CLIENT: (20/28)

**FEMA DECLARATION**

**VOLUNTARY**

This has reference to my/our application for opening of a trading & DEMAT account with you. In this connection, I/we hereby declare that I/we have complied and will continue to comply with FEMA Regulations with respect to buying and selling of securities in the Indian Capital Market.

Thanking you,  
 Yours truly,

SIGNATURE OF CLIENT: (21/28)

**RUNNING ACCOUNT AUTHORISATION**

**VOLUNTARY**

To,  
**FRR Shares and Securities Limited**  
**205, Embassy Centre, Nariman Point, Mumbai – 400 021.**

**Re: Running Account Authorisation**

In order to facilitate operations of my/our trading account opened, I/We would like to authorise FRR Shares and Securities Limited to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)
  - Monthly       Quarterly
3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a FRR may retain funds in the manner specified below:
  - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
  - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
  - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/ securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

SIGNATURE OF CLIENT: (22/28)

**AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE**

I/We hereby consent to receive from AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from FRR Shares and Securities Limited the digital contract notes, bills, ledgers, transaction statements, DEMAT statement of accounts/DEMAT transaction statement/holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act, 2000 and the rules made thereunder to my/our below mentioned E-mail Id (said E-mail Id).

E-mail Id: \_\_\_\_\_

I/We further hereby agree that FRR shall fulfil the legal obligation, if the above documents are sent electronically to the said E-mail Id and I/we am/are aware that I/we will not receive the statements/documents in paper form. In this regard, I/we further confirm and agree that: -

1. The above is my/our personal E-mail Id. The same has been created by me/us and not by someone else. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above-mentioned E-mail account. FRR shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/our aforesaid E- mail Id
2. E-mails sent to any of the above-mentioned E-mail accounts, which have not bounced back, shall be deemed to be duly delivered to me/us. I/We am/are aware that non-receipt of bounced email notification by the member shall amount to delivery of the Contract Note and other documents to the above-mentioned E-mail Id(s)
3. FRR shall not take cognizance of out-of-office/out of station auto replies and I/we shall be deemed to have received such electronic mails. Such Statements shall be deemed to have been delivered on the day when the E-mail is sent by FRR
4. FRR shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof
5. FRR shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from FRR
6. I/We shall inform FRR by way of a letter in writing duly signed by me/us or informed through an internet platform if there is any change in the E-mail given above
7. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with FRR. My/Our non-verification or not accessing the Statement on a regular basis shall not be a reason for disputing the same at any time
8. Further I/we agree and undertake to indemnify FRR and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request
9. In case of bounced E-mail, FRR shall send physical copy of contract note to me/us within the stipulated time under the extant regulations of SEBI/stock exchanges

NAME:	PLACE:
SIGNATURE OF CLIENT: (23/28)	DATE:



**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI) IN FAVOUR OF FRR SHARES AND SECURITIES LIMITED VOLUNTARY**

I/We agree to the terms and purpose of this DDPI document between  
 Mr./Ms. \_\_\_\_\_ (First Holder),  
 Mr./Ms. \_\_\_\_\_ (Second Holder) and  
 Mr./Ms. \_\_\_\_\_ (Third Holder);  
 Residing / registered office/place of business at \_\_\_\_\_  
 \_\_\_\_\_ hold Beneficial Owner Account number (BO ID) 12079700 / 12068100 \_\_\_\_\_ with Central Depository Services (India) Limited (CDSL), through F R Ratnagar and Company Pvt Limited / FRR Shares and Securities Limited, a Depository Participant registered with Securities and Exchange Board of India (SEBI) bearing DP ID 79700 /68100 And Whereas I / We am/ are desirous to buy and sell securities through FRR Shares And Securities Limited, a stock broker registered with SEBI and a member of recognized Stock Exchange/s (National Stock Exchange of India Limited and BSE Ltd) bearing SEBI single registration number INZ000279232.  
 Whereas I / we authorize FRR Shares And Securities Limited to operate my / our Beneficial Owner Account in a manner hereinafter appearing and subject to conditions as provided herein. Whereas I / We hereby am / are fully aware and understand that this DDPI is voluntary and I / we have been fully made aware of the explicit authority consented by me / us under this executed document.  
 I / We do hereby authorize FRR Shares And Securities Limited (hereinafter referred to as the "Stock Broker / Stock Broker and Depository Participant") acting through any of its directors and/or its duly authorized officers to perform the following functions on my/our behalf:

**PURPOSE OF DDPI**

1. Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
	First/Sole Holder	Second Holder	Third Holder
Specimen Signatures (24/28)			
2. Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. Any other transactions that may be allowed by SEBI/CDSL from time to time.			
	First/Sole Holder	Second Holder	Third Holder
Specimen Signatures (25/28)			
3. Mutual Fund transactions being executed on Stock Exchange order entry platforms.			
	First/Sole Holder	Second Holder	Third Holder
Specimen Signatures (26/28)			
4. Tendering shares in open offers through Stock Exchange platforms.			
	First/Sole Holder	Second Holder	Third Holder
Specimen Signatures (27/28)			

I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the stock broker / stock broker and depository participant pursuant to this DDPI has been made done and executed in good faith and shall for all-purpose be valid and binding on me/us and I/ we undertake to indemnify the stock broker / stock broker and depository participant against all actions proceedings claims, costs, expenses and liabilities of every description arising from the exercise or the purported exercise in good faith, of authorities conferred by this DDPI.  
 The stock broker / stock broker and depository participant may appoint and remove at its discretion any authorized signatories for or under this DDPI in respect of all or any of the matters contained herein upon such terms and conditions as the stock broker / depository participant may think fit.  
 I/We further agree and confirm that the authorities conferred under this DDPI shall continue until it is revoked (without notice) in writing by me/us and that the said revocation shall be effective from the date on which the revocation notice is received by any person authorised in this regard by the Stock Broker in its office situated at: 1509, Maker Chamber V, Nariman Point, Mumbai – 400 021. However, such revocation shall not be applicable for any outstanding settlement obligation of funds/ securities arising out of the trades carried prior to receiving request for revocation of this DDPI.

**List of the Stock Broker Designated Demat Account:**

Sr No.	DP ID	Client ID		PURPOSE
1	IN301330	20916973	IN662070	BSE NSDL POOL A/C
2	IN301330	20916980	IN517739	NSE NSDL POOL A/C
3	12068100	00005631		BSE CDSL POOL A/C
4	12068100	00005659		NSE CDSL POOL A/C
5	12068100	00005566		BSE CDSL PRINCIPAL A/C
6	11000010	00021826		BSE CDSL-EARLY PAYIN A/C
7	11000011	00018315		NSE CDSL-EARLY PAYIN A/C
8	12068100	00041201		NSE CDSL SLB POOL A/C
9	12079700	00039334		TM/CM CLIENT SECURITIES MARGIN PLEDGE ACCOUNT

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

Dated at Mumbai on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

	First/Sole Holder	Second Holder	Third Holder
Signatures (28/28)			

	Witness 1	Witness 2
Name		
Address		
Signatures		

We hereby accept to exercise the authorities conferred upon us in terms of the purposes mentioned hereinabove. This document is in conformity with the conditions as specified in SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022.

For FRR Shares And Securities Limited

Director / Authorised Signatory



DETAILS OF TRADING AND CLEARING MEMBER	
Name Of Stock Broker	: FRR SHARES AND SECURITIES LIMITED
Registered Office	: 205, Embassy Centre, Nariman Point, Mumbai – 400 021.
Corporate Office	: 1509, Maker Chambers V, Jamnalal Bajaj Road, Nariman Point, Mumbai – 400 021
Telephone Numbers	: +91 22833825
Email	: nitin.lakhotia@frrshares.com
Cin	: U67100MH2010PLC204251
Pan	: AABCF5477E
SEBI Registration No	: INZ000279232
SEBI Registration No. Of CDSL	: DP CDSL 132-2015
CDSL DP ID	: CDSL DP Id: 12068100
Membership NO	: NSE Member Code No.: 13972 BSE Member Code: 6207
Clearing Member Name	: SMC GLOBAL SECURITIES LTD
Compliance Officer Name	: Nitin Lakhotia
Phone No.	: +91 9320174101
Email Id	: nitin.lakhotia@frrshares.com
Director Name	: Aditya Mehta
Phone No.	: +91 9819461116
Email Id	: aditya.mehta@frrshares.com

For any grievance/dispute please contact **FRR SHARES AND SECURITIES LIMITED** at the above address or email id: nitin.lakhotia@frrshares.com and Phone no. 9320174101. In case not satisfied with the response, please contact the concerned exchange(s) at their Contact details given below:

<b>BSE Limited (BSE)</b>	<b>NSE Limited (NSE)</b>
Tel. No.: +91 22 2272 1233/34	Tel. No.: +91 22 2659 8190 / 1800 2200 58
Fax No.: +91 22 2272 3677	Investor Services email ID.: ignse@nse.co.in
Investor Services email ID.: is@bseindia.com	
Investor Services Tel. No.: +91 22 2272 8097	<b>CDSL</b>
E-mail ID: stanies.crasto@bseindia.com	Tel.: 1800 2005 533
	E-mail ID: complaints@cdslindia.com
	<b>MCX</b>
	Tel. No.: +91 22 6731 8888/ 66494151
	Investor Services Email ID: grievance@mcxindia.com