



FORTUNE FISCAL LIMITED

(Depository Participant of Central Depository Service (India) Limited)
Member : National Stock Exchange of India Ltd.
Member : Bombay Stock Exchange
Regd. Office : 208, Bluechip Complex, Sayajigunj, Vadodara - 390005.
Tel. : (0265) 2361450, 2225614, Telefax : (0265) 2361450
Email : support@fortunefiscal.com
Website : www.fortunefiscal.com

Application / Form No.:

MEMBERSHIP DETAILS

Exchange / Segment	NSE Cash Segment	NSE Derivatives Segment	BSE Cash Segment
Membership Code	08236	08236	3091
SEBI Registration No.	INZ000247236		
Clearing Member		Stock Holding Corporation of India Ltd, Mumbai SEBI Regn. No. : INZ000241237	
Depository	Central Depository Services (India) Ltd		
SEBI Registration No.	IN-DP-173-2015		
DP ID	12042800		

Trading / Demat Account Opening Form

Client Name : _____

Trading (UCC) Code : _____

Authorised Person Name / Code: _____

DP ID : 12042800 Client ID _____

Category	Resident Individual	Non Resident Individual	Hindu Undivided Family
	Trust	Partnership Firm	Sole Proprietorship Firm
Exchange enabled	NSE		BSE
Segment enabled	CASH	DERIVATIVES	CASH

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FORTUNE FISCAL LIMITED Registered / Correspondence Office: 208, Bluechip Complex, Sayajigunj, Vadodara – 390 005. Tel. (0265) 2361450, 2225614 Email : support@fortunefiscal.com, Website :www.fortunefiscal.com Investor Grivence Email : info@fortunefiscal.com	SEBI Registration No. NSE Cash : INZ000247236 /26.03.2019 BSE Cash : INZ000247236 /26.03.2019 NSE FO : INZ000247236 /26.03.2019	Details of Compliance Officer Shri Nilesh L Choksi / Shri Ram R. Parte Ph : (0265) 2361450 / 2225614 Email : info@fortunefiscal.com
	Details of CEO - Shri Nilesh L. Choksi Ph : (0265) 2361450 / 2225614, Email : info@fortunefiscal.com	
	Investor Grievance Details of Exchanges NSE : Email id : ignse@nse.co.in , Tel No : 022 26598190 BSE : Email id :is@bseindia.com Tel No. : 022 2272 8097 SEBI : www.scores.gov.in , Tel No. : 1800 2667 575 Filling compliant on SCOREs Register on SCOREs portal (link: https://scores.sebi.gov.in/)	

CM for NSE FO Segment : Stock Holding Corporation Of India Ltd, Plot No. P-51, T.T.C. Industrial Area, MIDC, Mahape, Navi Mumbai – 400710, Ph. – 022-61778067, 61778068. **SEBI Regn. No. :** INZ000241237

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

1. Passport / Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.

4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions / Clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

INDIVIDUAL CLIENT REGISTRATION FORM

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**. Know Customer (KYC) Application Form

Status of the client (Please tick the relevant box)

For office use only	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
CKYC Number : <input type="text"/>	*Mandatory for KYC update request
Account Type* <input type="checkbox"/> Normal <input type="checkbox"/> Simplified (for low-risk customers) <input type="checkbox"/> Small	

A. IDENTITY DETAILS : First Name Middle Name Surname

Name of the Client			
Father's / Husband's Name			
Mother's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Date of Birth	
Marital Status	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried	Nationality	
Residential Status	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non-Resident	
PAN No.		Aadhar	
Specify the proof of identity submitted : Pan Card			

PHOTOGRAPH

Please affix your colour passport size photograph and sign across it

1

B. ADDRESS DETAILS:

Correspondence Address			
			City :
	State :	Country :	Pin Code <input type="text"/>
Contact Details	Tel. (Off) : ()	Tel. (Res)	()
	Mobile No. :	E-mail Address	
Permanent Address (If different from above or overseas address, mandatory for NRI Client)			
			City :
	State :	Country :	Pin Code <input type="text"/>
Specify the proof of address submitted			
In case of NRI client, pl. provide	PIS No. <input type="text"/>	RBI Approval Date	<input type="text"/>
Occupation	<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"/> Other		

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.

Name			Signature
Place	Date		

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FOR OFFICE USE ONLY

Details of Employee / Authorised Signatory	Documents verified with originals and True copies / (Self-Attested) Self Certified Document of documents received	Seal / Stamp of the intermediary
Name	IPV Done on	
Designation	Date :	
Signature	Place : Vadodara	

DEMAT/TRADING ACCOUNT RELATED DETAILS

A. OTHER DETAILS:

Gross Annual Income / Net-worth	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 – 5 Lac	<input type="checkbox"/> 5 – 10 Lac	<input type="checkbox"/> 10 – 25 Lac	<input type="checkbox"/> Above 25 Lac
	Net-worth (Rs.) :			As on date :	
Is client Politically Exposed Person (PEP) / Related to PEP ? <input type="checkbox"/> Yes <input type="checkbox"/> No					

B. BANK ACCOUNT DETAILS

Type Of Account	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE/NRO	Bank A/c. No.			
Name of Bank					
Branch Address					Pin Code
IFSC Code			MICR No.		

C. DEPOSITORY DETAILS

Sr. No.	Depository Participant Name	Beneficiary Name	DPID	Beneficiary ID (BO ID)	Depository
1	Fortune Fiscal Ltd.		12042800		NSDL / CDSL
2					NSDL / CDSL

D. TRADING PREFERENCE

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

Exchange	NSE , BSE	
All Segment	Cash Segment / Mutual Fund	Derivative Segment
<input type="checkbox"/> 3	<input type="checkbox"/> 3	<input type="checkbox"/> 3
If you do not wish to trade in any of segments / Mutual Fund, please tick (✓) below		
<input type="checkbox"/> CASH <input type="checkbox"/> FO <input type="checkbox"/> MF <input type="checkbox"/> SLBM		

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.

E. 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: No Yes, please specify _____

F. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

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

Name of AP		NSE SEBI Regn. No	
Reg. Off. Address		BSE SEBI Regn. No	
		Website	
Signature of AP		Tel No.	

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

Name of Stock Broker		Name of AP		Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker / AP							

G. INTRODUCER DETAILS (Optional)

Name		Signature	
Add / Tel No			
Status of introducer	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Employee <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, pl. specify		

H. ADDITIONAL DETAILS

Wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Phy <input type="checkbox"/> ECN
Wish to avail of the facility of internet trading / wireless technology (please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience	

I. FATCA/CRS Declaration for Individual

Client Name :				
		First Holder	Second Holder	Third Holder
1	Are you Indian Resident person? (Refer Risk Disclosure Documents at www.nseinaid.com)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2	Specify country of residence for tax purpose (if above clause is "No")			
3	Specify Tax Identification No / Others			

Note: If you are an US person and/or if your tax residency/nationality/citizenship is other than India, then please provide declaration/self-certification under FATCA/CRS. This declaration form can be downloaded from www.fortunefiscal.com.

Signature(s) :  4 _____
First Holder
Second Holder
Third Holder

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, www.fortunefiscal.com.

Name			Signature	 5
Place	Date			

FOR OFFICE USE ONLY

UCC Code allotted to the Client			
	Documents verified with Originals / In-Person Verification done by	Client Interviewed By	
Name			
Employee Code			
Designation			
Signature			
Date			

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, www.fortunefiscal.com, for the information of the clients.

Signature of Authorised Signatory

Seal / Stamp of the Stock Broker

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.		Date							
DP Internal Reference No.									
DP ID	1 2 0 4 2 8 0 0	Client ID	0	0	0				

(To be filled by the applicant in **BLOCK LETTERS** in English)

I / We request you to open a Demat Account in my / our name as per the following details: -

HOLDERS DETAILS :

Sole / First Holder's Name		PAN	
		UID	
Second Holder's Name		PAN	
		UID	
Third Holder's Name		PAN	
		UID	

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 Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP	<input type="checkbox"/> Individual Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI 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"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

DETAILS OF GUARDIAN (IN CASE OF ACCOUNT HOLDER IS MINOR) :

Guardian's Name	PAN	
Relationship with the applicant		
Instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be "Yes")	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instruction in my / our account without any 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 Regulations <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
To send Electronic Transaction-cum-Holding Statement at the email ID _	<input type="checkbox"/> Yes <input type="checkbox"/> No	
To share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No	
To receive the Annual Report (Default option would be "Electronic")	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both	
To receive Dividend / Interest directly in to my bank account through ECS (Default option would be 'Yes').	<input type="checkbox"/> Yes <input type="checkbox"/> No	

SMS Alert Facility	MOBILE NO. +91 _____	
Refer to Temrs & Conditions given as Annexure – 2.4	[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).	
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert facility. I have read and understand the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No	
	I / We wish to register the following clearing member IDs under my/our below mentioned BOID registered for TRUST	
	Stock Exchange Name / ID	Clearing Member Name
<i>Easi</i>	To register for <i>easi</i> , please visit CDSL's website: www.cdslindia.com . <i>Easi</i> allows a BO can view his ISIN balances, transactions and value of the portfolio online.	

X

X

X

NOMINATION DETAILS:

Nomination Registration No.	Dated

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

- I/We **do not wish to nominate any one for this demat account.**
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- I/We **nominate** the following person/s who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

Fortune Fiscal Ltd. 208, Blue Chip Complex, Sayajigunj, Baroda – 390005.		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)																	
Date	D	D	M	M	Y	Y	Y	UCC/ DP ID	I	N				Client ID					
I/We wish to make a nomination. [As per details given below]																			
Nomination Details																			
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 upto three nominees in the account.								Details of 1st Nominee				Details of 2nd Nominee				Details of 3rd Nominee			
1	<i>Name of the nominee(s)</i> (Mr./Ms.)							%				%				%			
2	Share of each Nominee		Equally [If not equally, please specify %]					%				%				%			
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																			
3	Relationship With the Applicant (If Any)																		
4	Address of Nominee(s) City / Place:State & Country:																		
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] Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <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)																		
11	City / Place: State & Country:																		
12	PIN Code																		
13	Mobile/Telephone no. of Guardian																		
14	Email ID of Guardian																		
15	Relationship of Guardian with nominee																		
16	Guardian Identification details – [Please tick any one of following and provide details of same] Photograph & Signature PAN Aadhaar Saving Bank account no. Proof of Identity Demat Account ID																		
Name(s) of holder(s)															Signature(s) of holder*				

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	Date	D	D	M	M	Y	Y	Y	Y
Fortune Fiscal Ltd. 208, Blue Chip Complex, Sayajigunj, Baroda – 390005.									
UCC/DP ID	I	N							
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 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)*									
1. _____ 2. _____ 3. _____									

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

Note : Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

*** Marked is Mandatory field**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

Place :

Date : _____

Note: **One witness** shall attest signature/ Thumb impression.

Details of the Witness	
Names of Witness	
Address of Witness	
Signature of Witness	

I / We have read the terms & conditions, Rights and Obligations and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder or Guardian (in case of Minor)	Second Joint Holder	Third Joint Holder
Name			
Signatures			

(Signatures should be preferably in black ink)

BSDA Facility Not Required

I/We hereby request to DP - Fortune Fiscal Ltd not to convert my / our regular demat account into BSDA account in future even though it falls under BSDA category subject to SEBI/CDSL guidelines.

I/We agree to pay my/our bill amount as per rules of regular account as decided by the Fortune Fiscal Ltd.

(1) _____ (2) _____ (3) _____
Signature of Holder(s)

STANDARD TARIFF SHEET (Details of brokerage and charges levied on client)

NSE / BSE Cash Segment:			NSE F & O Segment:	
Charges	Min. Amt	Percentage (%)	Charges	Percentage (%)
* Brokerage - Delivery			* Brokerage - Jobbing	
* Brokerage - Jobbing			On Futures	
* Min Brokerage	30.00		On Option	
Transaction Charges		0.00322 / 0.00275	FUT Tran Charges -	0.00188
STT - Delivery		0.100	OPT Tran Charges -	0.0495
STT - Jobbing		0.025	STT - Future	0.0125
Stamp Duty - Delivery		0.015	STT - Option	0.017
Stamp Duty - Jobbing		0.002	FUT Clearing Charges	0.0005
Contract Charges		----	OPT Clearing Charges	0.025
SEBI Turnover Fees		0.0001	SEBI TO Fees	0.0001
			Stamp Duty	0.0015

(* to be provided by the respective Authorised Person)

ANNEXURE

TARIFF CARD INDIVIDUAL / CORPORATE ACCOUNT "INVESTOR CATEGORY" W.E.F. 1st April 2024.

PARTICULARS	INDIVIDUAL	CORPORATE
ANNUAL MAINTANENCE CHARGES	Rs. 250/-	Rs. 1500/-
LIFE TIME AMC CHARGES	Rs. 1500/-	N.A.
ACCOUNT OPENING / CLOSING CHARGES	NIL	NIL
DEMATERIALISATION	Rs. 10/- per cert and Rs. 50/- per ISIN as a postage (Securities)	Rs. 10/- per cert and Rs. 50/- per ISIN as a postage (Securities)
REMATERIALISATION	0.15% / Min Rs. 15/- and Rs. 50/- per ISIN as a postage	0.15% / Min Rs. 15/- and Rs. 50/- per ISIN as a postage
CUSTODIAN CHARGES	NIL	NIL
PURCHASE (MARKET & OFF MARKET)	NIL	NIL
SALE (MARKET & OFF MARKET)	- 0.025% / Min. Rs. 50/- whichever is higher (Off Market Sale) - No Charge(The Charge will be taken at the time of sell @15/- per scrip in contract bill) (Market Sale)	- 0.025% / Min. Rs. 50/- whichever is higher (Off Market Sale) - No Charge(The Charge will be taken at the time of sell @15/- per scrip in contract bill) (Market Sale)
STATEMENT OF TRANSACTION (EXTRA)	Rs. 15/-	Rs. 15/-
CREATION OF PLEDGE	0.02% Plus Rs. 12/-	0.02% Plus Rs. 12/-
CLOSURE / CONFIRMATION OF PLEDGE	0.02% Plus Rs. 12/-	0.02% Plus Rs. 12/-
INVOCATION OF PLEDGES	0.02% Plus Rs. 12/-	0.02% Plus Rs. 12/-
MARGIN PLEDGE / UNPLEDGE	Rs 15/-	Rs 15/-
MARGIN RE-PLEDGE / RE-UNPLEDGE	Rs. 1/-	Rs 1/-

- % in the entire above tariff would be applied on the value of the transactions as computed by CDSL.
- Demat request will be accepted against payments in cash.
- Trade instruction will be accepted against payment in cash.
- Transaction cum billing statement will be sent on monthly basis.
- Any extra statement will be charged at the rate of Rs. 25/- per statement for first 5 pages, thereafter it will be charged Rs. 5/- per page.
- GST as applicable will be levied.
- The above charges are subject to revision as and when revised by CDSL. The charges are also subject to revision by FORTUNE FISCAL LIMITED and will be informed to BO 30 days in advance.

Authorised Signatory

(FORTUNE FISCAL LTD)

(1) _____ (2) _____ (3) _____
Signature of Holder(s)

Running Account Authorization

Voluntary

To:

FORTUNE FISCAL LIMITED
208, Bluechip Complex, Sayajigunj,
Vadodara - 390005.

Sub :- Running Account Authorization.

I/We do have thoroughly read and understood that this is a Voluntary Document and can revoke any clause of it at any point of time by giving advance written notice and accordingly consent for the following:

- (1) About Voluntary Document: I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached to KYC form and do accord consent for the same.
- (2) About Running Account Authorization: I/We do hereby declare and confirm that my/our account is to be maintained in Running Account mode as voluntarily agreed in Voluntary Document. I/We also specifically understand and agree that:
 - (a) This is only a voluntary authorization that may be revoked by me at any time.
 - (b) This authorization is signed by me/us only and not by my/our authorized person/POA holder.
 - (c) Kindly settle my account for funds and/or securities at quarterly OR { } monthly settlement basis (if client do not select the check box, Default answer would be considered as QUARTERLY).
 - (d) I/we are here confirming that it is my/our responsibility to bring to your notice any dispute from my/our end, arising from statement of account or settlement. The same should be provided in writing by me/us within 7 days of receipt of funds/securities /statement as the case may be.
 - (e) I/We here confirming that the condition of periodic settlement of running account may not be necessarily applicable on me if I/we lie under below mentioned category of clients and it is only done at the discretion of Broker:
 - (i) For the clients availing any margin trading facility as per SEBI circular.
 - (ii) For funds received from clients towards collaterals / margin in form of Bank Guarantee (BG), Fixed Deposit Receipts (FDR).
 - (f) In case of my/our request / demand, you shall transfer the funds/securities within 1 working day of the request if the same are lying with you or within 3 working days of the request if the same are lying with Clearing Member/Clearing Corporation.
 - (i) There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.
- (3) About Electronic Contract Notes etc.: I/We do hereby declare and confirm to receive ECN, statement of accounts, daily margin statement and such other record / information/notice etc. to my / our E-mail Account as mentioned in my KYC. In case of any change, I/We shall communicate in writing through letter to you about the same. If I/We are availing Internet trading facility than the change in Email ID will be communicated through secured access by way of my/our specific user id and password.

Thanking you,



Signature of Client)

Name of Client :

Date :

Margin Trading Facility (MTF)

Date:

To,
FORTUNE FISCAL LTD. (FFL)
208, Blue Chip Complex,
Sayajigunj,
Baroda – 390005

Voluntary

Sub: Application to avail Margin Trading Facility under FFL.

Dear Sir/Madam,

With regards to captioned subject I/We Mr./Ms. _____ is interested and wish to avail Margin Trading Facility rendered by FORTUNE FISCAL LTD. (FFL)

Further I/We hereby confirm that I/We have read and understood the Rights and Obligations with regards to Margin Trading Facility provided by FFL and agree to abide by the same.

Client Name			
Client Signature			



7

Signature of Client)

Name of Client :

Date :

DECLARATION FOR MOBILE NO. / EMAIL.

I _____ having PAN No. _____ do hereby declare that my mobile no. _____. Email _____.
Further, I authorize FORTUNE FISCAL LTD that the same may be used for giving me any information / alert / SMS / call.

I further wish to authorised FORTUNE FISCAL LIMITED that the same Mobile No. / Email may be used for our family members, mean for self, spouse, dependent children and dependent parents, registered with FORTUNE FISCAL LIMITED for giving any information / alert / SMS / call.

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

Sr. No.	Name of Account holder	Relation with registered mobile / Email holder	Demat Account No.	Client / UCC Code
1				
2				
3				
4				
5				



7(A)

Signature of Client)

Name of Client :

Date :

Most Important Terms and Conditions (MITC)

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.



Signature of Client)

Name of Client :

Date :

Demat Debit and Pledge Instruction

Date :

To :
Fortune Fiscal Ltd

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation

UCC Code: _____ **Client Name:** _____

I/we have a beneficiary account bearing no **12042800** _____, hereby explicitly agree and give consent to authorise **Fortune Fiscal Ltd**, to access Beneficial Owner (BO) Account as per details given above for following purposes, Accordingly, I/We hereby authorise FFL to do the followings,

I/We executing the Demat Debit and Pledge instruction (DDPI) in favor of **FORTUNE FISCAL LTD** authorizing them to operate aforesaid beneficiary account for the below mentioned specific purpose.

Sr. No.	Purpose	Signature of Holder(s) *
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.	1. _____ 2. _____ 3. _____
2	Pledging / re-pledging of securities in favor of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements / Margin Funding Position of the clients in connection with the trades executed by the clients on the Stock Exchange and converted in MTF	1. _____ 2. _____ 3. _____
3	To execute transactions pertaining to Tendering shares in Open-offers (TO) through Stock Exchange platforms.	1. _____ 2. _____ 3. _____
4	I/We agree enabling Mutual Fund transactions (buy or sell) to be executed via stock exchange operated order entry platforms, such as BSEStar MF & NSE NMF.	1. _____ 2. _____ 3. _____

Kindly further note that, I/we am/are entitled to revoke this authorisation at any time, after sending revocation letter at your correspondence office to enable you to make necessary changes. I/We hereby confirm that such revocation shall not affect my/our obligation outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued towards FFL have been settled.

The demat account details of FFL / Clearing Member / Clearing Corporations / Exchanges, where client shares can be transferred / pledged / Re-pledged for above purposes mentioned in **Annexure A**.

- The same may be e-signed or signed physically.

Clauses mentioned in DDPI document shall be valid from the date as specified by Regulator from time to time.

Annexure – A

The demat account details of FFL / Clearing Members / Clearing Corporations / Exchanges, where client shares can be transferred / pledged / Re-pledged for above purposes is mentioned below.

Exchange / CM / CC	Description of Demat A/c	Demat Account No.
NSE	CM Pool A/c – CDSL	12042800 00027364
	CM Pool A/c – NSDL	IN555342 10780941
	Early Pay-in A/c – CDSL	11000011 00016755
BSE	CM Pool A/c – CDSL	12042800 00004701
	CM Principal A/c – CDSL	12042800 00004716
	CM Pool A/c – NSDL	IN630914 19949718
	Early Pay-in A/c – CDSL	11000010 00015375
NSE/BSE	Client Margin Pledge Account	12042800 00078498
	Client Unpaid Security Pledge account (CUSPA)	12042800 00085539
NSE	MTF – Client Margin Funding Account	12042800 00099991
	MTF - Client Margin Pledge Account	12042800 00099987
SHCIL	Pledge / Re-Pledge Account	16010100 00468186
NCL	Pledge / Re-Pledge Account	11000011 00070926

I / We accept,
FOR **FORTUNE FISCAL LTD.**

Authorized Signatory

To
FORTUNE FISCAL Ltd.
208-Bluechip Complex,
Sayajigunj,
Vadodara-390 005

Trading Code: - _____

SUB: - Enablement of My Client code in SLB segment

Dear Sir,

With reference to the subject and in this regards I am registered as a client vide above mentioned client code. I am desirous of carrying out transactions in securities Lending and Borrowing Scheme (hereinafter referred to as "SLBS") in terms of Securities Lending Scheme, 1997 (hereinafter referred to as "SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 (hereinafter referred to as "SEBI's Circular") NSCCL's Circular No. 100 dated October 25 , 2010 (hereinafter "NSCCL" Circular) And any circulars which are in force for time being with regard to SLBS segment.

I state that I have perused SEBI's Scheme, SEBI's Circular, NSCCL's Circular and any circulars which are in force.

I agree to execute necessary agreement and abide by all the terms and conditions of the said agreement as well as SEBI's Circular, NSCCL's Circular and any Circulars are in force.

Thanking You.

Yours truly,

Client Name	Client Signature

Date :

Facility for voluntary freezing/ blocking the online access of the trading account

(Not applicable to clients who do not have online trading access)

Prepared date	June 10, 2024
Approval date	June 11, 2024
Last review date	NA – first version
Version	1.0
Next revision, if any	3 years from date of last approval

Introduction

SEBI vide its circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 informed the Industry Standards Forum (ISF), under the aegis of stock exchanges, in consultation with SEBI, to frame the necessary guidelines. Pursuant to the same, the Exchanges have issued the circulars detailing the framework for trading members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients on account of suspicious activities.

Exchanges through these circulars have further informed that the trading members shall frame a policy in line with the abovementioned framework, which shall be the part of the trading member's Risk Management Policy.

This policy framework also contains the Process and mode(s) through which the client can place the request to freeze/block & unfreeze / unblock the trading account along with the timelines that will be followed by the Trading Member for the same.

Framework of the voluntary freezing/blocking facility / Standard Operating Procedure (SOP):-

Mode of communication:-

The client shall request Fortune Fiscal Limited (FFL) for voluntary freezing/blocking the online access of trading account if any suspicious activity is observed in the trading account vide the below mentioned modes:

Via IVR/Tele calling on the number 0265-2361450.

Via email with us on stoptrade@fortunefiscal.com

Via WhatsApp Chat with us on 7779058790.

Process to be followed:-

Validation:-

FFL shall verify that the request for freezing/blocking the online access of the trading account is received from the respective client only.

Where the request is received from other than registered phone number / Email of the Client, client will be required to complete the authentication procedure (2 Factor Authentication).

FFL may also follow any other process as may be prescribed by the Exchange(s) uniformly in consultation with SEBI, from time to time.

Issuance of acknowledgment:-

FFL shall acknowledge the receipt of the request to the client. Acceptance or rejection message will be displayed/ announced on the Email/WhatsApp Chat/IVR respectively or through any other legally verifiable modes as permitted in the SEBI "Circular on Prevention of Unauthorized Trading by Stock Brokers" dated March 22, 2018 or as may be amended from time to time.

Freezing/blocking the online access of the client's trading account:-

Upon successful validation, the client's trading account shall be frozen/blocked from the online access.

An active Mutual Fund and Equity Systematic Investment Plan (SIP) shall remain active.

(c) The client will continue to have offline access to the trading account i.e. the client will be able to place orders through the Authorized Person / dealer / call and trade and carry out any other offline activities such as raise request for statements, carry out client master modifications through physical requests etc.

Simultaneous cancellation of all the pending orders of the said client:-

All pending orders of the client in all segments shall stand cancelled.
No fresh orders shall be allowed to be placed through online access.

Scenario and timelines:-

Scenario	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading
Request received during the trading hours* and within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

* Trading hours shall be as follows: Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m.

Post freezing/blocking the client's trading account :-

FFL shall send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account.

Details of open positions (if any) would also be communicated to the client along with contract expiry information within one hour from the freezing/blocking of the trading account. This will eliminate the risk of unwanted delivery settlement. This time limit may be contracted after Exchange's review and would stand effective as modified from time to time.

Risk Management:-

It is clarified that:

Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of FFL.

II The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.

Process for re-enablement:-

FFL shall re-enable trading in the client's account after carrying out necessary due diligence including verifying the client using Two Factor Authentication and validating the client request and unfreezing / the account.

For unfreezing of the trading account, the client will have to get in touch on the dedicated phone number **(0265-2361450)**/ chat (7779058790) / email - stoptrade@fortunefiscal.com Once such request has been received and authenticated, account will be unfrozen within 1 working day.

Maintenance of records/logs:-

FFL shall maintain the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients.

The Compliance Officer is authorized to provide any suitable advice/clarification/exception on the said policy.

From :
Client Name :
Client Code :
BO ID :

To :

Fortune Fiscal Limited
208, Blue Chip Complex
Sayajigunj
Baroda – 390 005

Dear Sir,

This has reference to necessary Know Your Client (KYC) form containing basic information, additional information and other documents executed by me/us.

I/We hereby acknowledge the receipt of the following documents from you.

1	Documents containing voluntary Rights and Obligations of Stock Brokers, Sub-brokers and Client forming part of documents.
2	Documents containing mandatory Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depository.
3	Documents containing mandatory Rights and Obligations of Stock Brokers and Clients for Margin Trading Facility(MTF) as prescribed by NSE.
4	Risk Disclosure Document for capital and derivative segments.
5	Guidance note – Do's and Don'ts for trading on the exchange(s) for investors.
6	Policies and Procedures.
7	Standard Tariff Sheet of Trading and Depository.
8	Internet and wireless technology based trading facility provided by stock broker to client.
9	Delivery Instruction Slip book (10 Leafs).
10	And other voluntary documents.

I/We state that I/We have read and understood all the documents and these documents are bindings upon me/us.

Thanking you,

 9

Signature of Client/s

Date :

