

FOR OFFICE USE
CLIENT INTRODUCTION FORM

Client Code	BSE	NSE	F&O	CURRENCY	BRANCH

Date : **Sr. No.** _____

Client Name :

Past Broker, if any :

Nature of Business & Portfolio Size : Trader / Investor

Deposit Taken :

I would like to introduce the above client and I state that I have verified the present residential & office address of the above client and the same are existing, I have also checked out his relationship /dealings with other brokers in the past and found them to be clear of any discrepancies or liabilities. The duly filled in client registration form is also attached here with for your verifications kindly approve the same.

Remarks if any:

Yours Sincerely

Name & Signature of the Introducer

Signature of the Branch Manager

Approved by Regional V. P. :

Approved by H.O. :

INTRADAY BROK :-.....

DELIVERY BROK :-.....

MINIMUM BROK :.....

.....

In Person verification done by :

Name of Employee : _____ Place/Branch : _____

Designation : _____ Date : _____ Signature: _____

INDEX			
MANDATORY DOCUMENTS			
SR. NO	NAME OF DOCUMENT	BRIEF SIGNIFICANCE OF DOCUMENT	PAGE NO
1	CLIENT INTRODUCTION FORM	INTERNAL DOCUMENT OF BROKER	1
2	INDEX	INDEX OF DOCUMENTS	2
3	LETTER	COVERING LETTER, SIGNATURE COUNTS	3
4	CHECKLIST	CHECKLIST FOR SUPPORTING DOCUMENTS FOR INDIVIDUAL CLIENT, NOTICE TO INVESTOR	4-5
5	ACCOUNT OPENING FORM	FOR INDIVIDUALS CAPTURING BASIC DETAILS OF APPLICANT	6-8
6	CHECKLIST	INSTRUCTIONS/CHECK LIST FOR DERIVATIVES TRADING	9
7	CHECKLIST	CHECKLIST FOR SUPPORTING DOCUMENTS FOR NON INDIVIDUAL CLIENTS	10-12
8	ACCOUNT OPENING FORM	FOR NON INDIVIDUAL CLIENTS CAPTURING BASIC DETAILS OF APPLICANT	13-15
9	CHECKLIST	INSTRUCTIONS/CHECK LIST FOR DERIVATIVES TRADING	16
10	ANNEXURE – A	BASIC DETAILS OF DIRECTORS, PROMOTERS, PARTNERS, KARTA, AUTHORISED SIGNATORIES	17
11	ACCOUNT OPENING FORM	DETAILS OF JOINT HOLDERS IN DEMAT ACCOUNT	18-20
12	NOMINATION FORM	NOMINATION FORM FOR DEMAT ACCOUNT	21
13	RIGHTS AND OBLIGATIONS	DOCUMENT STATIING THE RIGHTS & OBLIGATIONS OF STOCK BROKER /TRADING MEMBER, SUB BROKER AND CLIENT FOR TRADING ON EXCHANGES	22-26
14	ITORS TRADING	ADDL RIGHTS AND OBLIGATIONS IN CASE OF INTERNET/WIRELESS TECHNOLOGY BASED TRADING	27
15	GUIDANCE NOTE	DOS AND DONTs FOR TRADING ON EXCHANGES	28-29
16	RISK DISCLOSURE DOCUMENT	DOCUMENT DETAILING TYPE OF RISKS INVOLVED IN TRADING ON THE EXCHANGES	30-33
17	POLICIES AND PROCEDURES	DOCUMENT GIVING DETAILS OF RMS POLICIES AND PROCEDURES OF STOCK BROKER, INTERNAL SHORTAGE HANDLING	34-36
18	TARIFF SHEET	DOCUMENT GIVING DETAILS OF BROKERAGES, INTEREST CHARGES, DEMAT ACCOUNT CHARGES, PENALTIES	37
19	AGREEMENT	AGREEMENT FOR OPENING DEMAT ACCOUNT	38
VOLUNTARY DOCUMENTS			
20	POWER OF ATTORNEY	VOLUNTARY POWER OF ATTORNEY FOR DEMAT ACCOUNT	39-42
21	SMS ALERT \$	DOCUMENT FOR REGISTERING ON SMS ALERT / FACILITY FOR DEMAT ACCOUNTY	43
22	VOLUNTARY CLAUSES	DOCUMENT DETAILING VOLUNTARY CLAUSES FOR TRADING WITH MEMBER	44-47
23	LETTER	AUTHORITY LETTER FOR DEALINGS	48
24	LETTER	AUTHORITY LETTER FOR MAINTAINING RUNNING ACCOUNTS FOR FUNDS AND SECURITIES	49
25	LETTER	AUTHORITY LETTER FOR OPERATING ONLINE TRADING ACCOUNT	50
26	FORMAT	LETTER OF AUTHORITY FROM CO-PARCENERS FOR OPERATING HUF ACCOUNT	51
27	LETTER	AUTHORITY LETTER FOR COLLECTION OF CONTRACTS, BILLS	52
28	LETTER	AUTHORITY LETTER FOR CONSENT TO ELECTONIC CONTRACT NOTES	53
29	GUIDANCE NOTE	DOCUMENT GIVING BRIEF NOTE ON MONEY LAUNDERING (PMLA)	54-56
30	LETTER	ACKNOWLEDGEMENT OF COPY OF KYC	57
31	FORMATS	DECLARATIONS FOR PROP FIRM / PARTNERSHIP FIRM DEMAT A/C	58
32	FORMAT	LETTER FROM PARTNERSHIP FIRM	59
33	FORMAT	BOARD RESOLUTION FOR CORPORATE APPLICANT	60

\$ - MANDATORY IF OPENING A DEMAT ACCOUNT

FORMATS – ARE MANDATORY WITH RESPECT TO CATEGORY OF ACCOUNT

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



MEMBER, BOMBAY STOCK EXCHANGE LTD.
MEMBER, NATIONAL STOCK EXCHANGE OF INDIA LTD
DEPOSITORY PARTICIPANT, CENTRAL DEPOSITORY SERVICES LIMITED.
Regd. Off.: 205, Embassy Centre, Nariman Point, Mumbai - 400 021. Tel.: 22833825 Fax : 22852919
Correspondence Off.: C - 103, 10th Flr., Mittal Towers, Nariman Point, Mumbai - 400 021.
Tel.: 43344200 Fax : 43344223

Compliance Officer : Jayesh R. Patel. Tel.: 30009568 / 9321291606. Email : jayesh.patel@frrshares.com

Designated Director : Janak C. Mehta. Tel.: 43344217 / 9867310447. Email : janak.mehta@frrshares.com

Date : _____

To,

Dear Sir / Madam,

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

We are sending herewith the client registration forms required as per SEBI regulations. We kindly request you to read the checklist enclosed on page no. 4 & 5 for individuals & page no. 10 & 11, 12 for corporate and take care of sending the required documents.

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

Please mandatorily sign in the respective Market Segments you wish to trade on (Page No. 8) for Individuals & (Page No. 15) for Non Individuals.

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

Thanking you.

Yours faithfully,

For **FRR Shares & Securities Ltd.**

Authorised Signatory



INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM - INDIVIDUAL ACCOUNTS

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), 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.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.

E. List of people authorized to attest the documents:

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

NOTICE TO INVESTORS

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

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

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

PLEASE DO NOT AUTHORIZE ANYBODY TO TRADE ON YOUR BEHALF

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

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

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

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

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

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

CONSTITUENT REGISTRATION APPLICATION FORM

INDIVIDUAL

FRR SHARES & SECURITIES LTD.

MEMBERS, NATIONAL STOCK EXCHANGE OF INDIA LTD / BOMBAY STOCK EXCHANGE LTD.

NSE . SEBI REGISTRATION NO.: INB/INF 231397234 Dated 05.08.2010

Currency Derivatives : INE 231397234 Dated 20.09.2010

Clearing Member, Infrastructure Leasing & Financial Services Ltd.

Plot No. 14, Raheja Vihar, Chandivali, Andheri (East), Mumbai-400 072. Tel. 28570965

SEBI Regn No. INE231133630 CLG Code-C50008

BSE : SEBI REGISTRATION NO. : INB/INF 011397230 Dated 05.08.2010

CDSL SEBI REGISTRATION NO. : IN-DP-CDSL-591-2010 Dated 04.11.2010

Regd. Off. : 205, Embassy Centre, Nariman Point, Mumbai - 400 021. Tel.: 22833825 Fax : 22852919

Correspondence Off. : C - 103, 10th Flr., Mittal Towers, Nariman Point, Mumbai - 400 021.

Tel.: 43344200 Fax : 43344223



This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with the express permission of clients.

PLEASE FILL THIS FORM IN ENGLISH AND IN BLOCK LETTERS.

Dear Sir,
We request you to register us as your client and in this regard the following information is furnished.

PLEASE PASTE
PHOTOGRAPH HERE
& SIGN. ACROSS IT
(NO STAPLING)

Constituent Name :
(As you want on the Contract Note)

X

Permanent Address (For NRIs Overseas Address)

Contact Details

City:

Pin Code:

Tele:

Mobile:

Fax:

Email:

Date of Birth:

Sex : Male / Female

Education

Father / Husband Name :

Residential Status: Resident Indian / Non-Resident (NRE / NRO)
Foreign National / Others (Please specify)

Marital Status: Married/Unmarried :

Nationality :

Status : Individual / Sole Proprietary Firm

(All NRI's PIS is Mandatory)

Specify the proof of Identity submitted :

Specify the proof of address submitted for permanent address :

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

Name of Bank & Branch Address	Account No.	Account Type	IFSC CODE	MICR

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

Financial details of the constituent : Income Range (Per Annum) :

(where applicable)

(PLEASE ATTACH PROOF)

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

Income Tax (PAN/GIR No.)

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

Market Value of Portfolio as on :

Networth as on :
(Networth should not be older than 1 year)

WHETHER REGISTERED WITH ANY OTHER MEMBER / SUB BROKER (YES/NO) If yes please give details	
NAME OF MEMBER/BROKER/SUB BROKER	
If Dealing through a Sub Broker provide the following details :	
Name of Sub Broker : _____	SEBI Regn. No.: _____
Address : _____	Phone : _____ Fax : _____
_____	Website : _____
NAME OF EXCHANGE	
CONSTITUENT CODE NO.	TRADING ON : <input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> BOTH
Details of disputes / dues pending from / to such Stock Broker / Sub Broker :	
ARE YOU AN EXISTING CLIENT OF FRR (YES / NO) If yes branch _____ City _____	
Please provide details of all demat accounts to avoid any third party or mismatch issues which can result into auctions of shares sold by you.	
Name of your Depository Participant :	Name of Depository
DP ID NO.	
Beneficiary ID (BOID)	Beneficiary Name :
Name of your Depository Participant :	Name of Depository
DP ID NO.	
Beneficiary ID (BOID)	Beneficiary Name :
ADDITIONAL DETAILS :	
1) Whether you wish to receive physical contract note or electronic contract note (ECN) please specify _____ Specify your email ID if applicable _____	
2) Whether you wish to avail the facility of Internet trading / wireless technology (Please specify) _____	
OCCUPATION DETAILS	
Occupation : Employed / Self Employed / Business / Professional / House Wife / Others (Tick whichever is applicable.) If	
Name of Employer / Establishment _____	
Office Address _____	

Telephone No. _____ Fax No. _____	
Address for Correspondence (Local Address for NRIs)	
Address _____	

Telephone No. _____ Fax No. _____	
Specify the proof of address submitted for correspondence address :	

Investment / Trading Experience

Prior experience : No. of Years in Stocks _____ , in Derivatives _____ , in other investment related fields _____

BSE CAPITAL _____ BSE DERIVATIVES _____

NSE CAPITAL _____ NSE DERIVATIVES _____

NSE MF _____ NSE CURRENCY DERIVATIVES _____

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

INTRODUCER DETAILS :

Name of the Introducer _____

Address _____

Phone : _____

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

X
Signature of Introducer

DECLARATION :

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

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

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

Name : _____

Place: _____

Date : _____

Signature **X**

FOR OFFICE USE ONLY

UCC Code allotted to the client

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

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

For FRR Shares & Securities Ltd.

Authorised Signatory

Date :

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	CA Certified Networth Certificate
Copy of Demat Account Holding Statement	Bank Account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

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

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

4. For individuals :

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

b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM – NON INDIVIDUALS

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. If correspondence & registered office address are different, then proofs for both have to be submitted.
6. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
7. Politically Exposed Persons (PEP), who are on board of directors/ Karta / Trustees/ Authorized signatories, 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 Address (POA): - List of documents admissible as Proof of Address:

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

1. Registered Lease or Sale Agreement of / Flat Maintenance bill.
2. Utility bills like Telephone Bill (only land line), Electricity bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. 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.
5. Documents 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, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
6. 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.

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporates	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). ● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. ● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. ● Copies of the Memorandum and Articles of Association and certificate of incorporation. ● Copy of the Board Resolution for investment in securities market.
Partnership firm	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered partnership firms only). ● Copy of partnership deed. ● Authorised signatories list with specimen signatures. ● Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> ● Copy of the balance sheets for the last 2 financial years (to be submitted every year). ● Certificate of registration (for registered trust only). ● Copy of Trust deed. ● List of trustees certified by managing trustees/CA. ● Photograph, POI, POA, PAN of Trustees.
HINDU UNDIVIDED FAMILY (HUF)	<ul style="list-style-type: none"> ● PAN of HUF. ● Deed of declaration of HUF/ List of coparceners. ● Bank pass-book/bank statement in the name of HUF. ● Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> ● Proof of Existence/Constitution document. ● Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ● Authorized signatories list with specimen signatures.

Types of entity	Documentary requirements
Banks/Institutional Investors	<ul style="list-style-type: none"> ● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ● Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> ● Copy of SEBI registration certificate. ● Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> ● Self-certification on letterhead. ● Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> ● Copy of Registration Certificate under Societies Registration Act. ● List of Managing Committee members. ● Committee resolution for persons authorised to act as authorised signatories with specimen signatures. ● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

CONSTITUENT REGISTRATION APPLICATION FORM

NON - INDIVIDUAL

FRR SHARES & SECURITIES LTD.

MEMBERS, NATIONAL STOCK EXCHANGE OF INDIA LTD / BOMBAY STOCK EXCHANGE LTD.

NSE . SEBI REGISTRATION NO.: INB/INF 231397234 Dated 05.08.2010

Currency Derivatives : INE 231397234 Dated 20.09.2010

Clearing Member, Infrastructure Leasing & Financial Services Ltd.

Plot No. 14, Raheja Vihar, Chandivali, Andheri (East), Mumbai-400 072. Tel. 28570965

SEBI Regn No. INE231133630 CLG Code-C50008

BSE : SEBI REGISTRATION NO.: INB/INF 011397230 Dated 05.08.2010

CDSL SEBI REGISTRATION NO.: IN-DP-CDSL-591-2010 Dated 04.11.2010

Regd. Off.: 205, Embassy Centre, Nariman Point, Mumbai - 400 021. Tel.: 22833825 Fax : 22852919

Correspondence Off.: C - 103, 10th Flr., Mittal Towers, Nariman Point, Mumbai - 400 021.

Tel.: 43344200 Fax : 43344223



Dear Sir,
We request you to register us as your client and in this regard the following information is furnished.

TO BE FILLED IN BY THE CONSTITUENT

Name of the Company / Firm
(As you want on the Contract Note)

Regd. Office Address :	Contact Details
City: _____ Pin Code: _____ State: _____	1) _____ 2) _____ 3) _____ Fax: _____ Email: _____

Specify the proof of address submitted for Regd. Office Address :

Correspondence Address:	Contact Details
City: _____ Pin Code: _____ State: _____	1) _____ Mobile : _____ Fax: _____ Email: _____

Specify the proof of address submitted Correspondence Address :

Date and Place of Incorporation : _____ Registration No.: _____

Date of commencement of Business:

Status : Partnership / Private Ltd. / Body Corporate / Public Ltd. / Trust / H.U.F. / Charities / NGOs / FI / FII / AOP / Bank / Government Body / Defence Establishment / BOI / Society / LLP
Others Please Specify :

Details of Promoters / Partners / Key Managerial Personnel of the Company / Firm / Karta / Trustees : (As per Annexure - A)

Gross Annual Income below ` 1 Lac ` 1 - 5 Lac ` 5 - 10 Lac ` 10 - 25 Lac ` 25 Lac - 1 Crore above ` 1 Crore

Net Worth (certified) : ` _____ as on(Excluding Revaluation Reserves) :

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

Name of Bank & Branch Address	Account No.	Account Type	IFSC Code	MICR

(Please submit a letter from the banker certifying account number and the period from which this account is in operation)

PAN No of the Company	Annual Income of the last two years (Please attach Proof)
	1st Year _____ 2nd Year _____
Market Value of the Portfolio as on _____	Unique Identification Number / Aadhar :

WHETHER REGISTERED WITH ANY OTHER MEMBER / SUB BROKER (YES/NO) If yes please give details	
NAME OF MEMBER/BROKER/SUB BROKER	
If Dealing through a Sub Broker provide the following details :	
Name of Sub Broker : _____	SEBI Regn. No.: _____
Address : _____	Phone : _____ Fax : _____
_____	Website : _____
NAME OF EXCHANGE	
CONSTITUENT CODE NO.	TRADING ON : <input type="checkbox"/> BSE <input type="checkbox"/> NSE <input type="checkbox"/> BOTH
Details of disputes / dues pending from / to such Stock Broker / Sub Broker :	
ARE YOU AN EXISTING CLIENT OF FRR (YES / NO) If yes branch _____ city _____	
ANY OTHER EXCHANGE PLEASE SPECIFY	
Please provide details of all demat accounts to avoid any third party or mismatch issues which can result into auctions of shares sold by you.	
Name of your Depository Participant :	Name of Depository
DP ID NO.	
Beneficiary ID (BOID)	Beneficiary Name :
Name of your Depository Participant :	Name of Depository
DP ID NO.	
Beneficiary ID (BOID)	Beneficiary Name :
ADDITIONAL DETAILS :	
1) Whether you wish to receive physical contract note or electronic contract note (ECN) please specify _____	
Specify your email ID if applicable _____	
2) Whether you wish to avail the facility of Internet trading / wireless technology (Please specify) _____	
Nature of Business	
1. _____	
2. _____	
Details of any action taken by SEBI / Stock Exchange / any other authority against the constituent or its Partners/Promoter/whole time directors/authorized persons in charge of dealing in securities for violation of securities laws / other economic offences in last 3 yrs.	
Names and Designation of persons authorised to deal in securities on behalf of the Company/Firm/Others and their residential address.	
1. Name : _____ Address : _____	

2. Name : _____ Address : _____	

Investment / Trading Experience	
Prior experience : No. of Years in Stocks _____, in Derivatives _____, in other related fields _____	

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

BSE CAPITAL _____ BSE DERIVATIVES _____
NSE CAPITAL _____ NSE DERIVATIVES _____
NSE MF _____ NSE CURRENCY DERIVATIVES _____

INTRODUCER DETAILS :

Name of the Introducer _____

Address _____

_____ Phone : _____

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

X
Signature of Introducer

DECLARATION :

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

Name : _____

Place: _____

Date : _____

Name & Signature **X**

FOR OFFICE USE ONLY

UCC Code allotted to the client

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

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

For FRR Shares & Securities Ltd.

Authorised Signatory

Date :

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
Copy of Demat Account Holding Statement	CA Certified Networth Certificate
Any other relevant documents substantiating ownership of assets.	Bank Account statement for last 6 months
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 non-individuals:

a. Form need to be initialized by all the authorized signatories.

b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**Annexure - A (To be used separately for each Director / Partner / Karta of HUF /
Authorised Signatory / Trustees)**

Name : _____

Designation : _____

Residential Address : _____

Telephone : _____

Qualification : _____

Experience : _____

Equity Stake : _____

Income Tax No. (PAN/GIR) : _____

DIN / UID No. : _____

Politically Exposed Person / _____

related to a politically exposed person :

Place : _____ Name : _____

Date : _____ Signature : X _____

(Please do not put the company / firm / HUF Stamps on this page.)

Joint Holders-Second Holder's Details

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

Joint Holders-Third Holder's Details

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

I / We instruct the DP to receive each and every credit in my / our account	[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly

	Second Joint Holder	Third Joint Holder
Name		
Signature	X	X
	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto;"></div> Please paste recent Passport Size Photograph Sign across the photo	<div style="border: 1px solid black; width: 150px; height: 100px; margin: 0 auto;"></div> Please paste recent Passport Size Photograph Sign across the photo

(Signature should preferably be in Black ink)

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

I/we request you to send Electronic transaction cum holding statement at Sole / First holders Yes No

Email ID stated in the account opening form or at _____

Additional Details

SMS Alert Facility Yes MOBILE NO. +91 -----
Refer to Terms & Conditions given as **Annexure-A** No

easi Yes If yes, please contact your DP for details
[Facility through CDSL's website : www.cdslindia.com wherein a BO can view his
ISIN balances, transactions and value of the portfolio online.] No

Details For Joint Second Holder

Date of Birth: D | D | M | M | Y | Y | Y | Y

Nationality: Indian Others (specify)

Sex: Male Female

Occupation: Service (Central Govt. State Govt. Public / Private Sector NGO
 Professional Statutory Body
 Retired Business Student
 Housewife Others (Specify) -----

Name of business :
(Products / services provided)

Details For Joint Third Holder

Date of Birth: D | D | M | M | Y | Y | Y | Y

Nationality: Indian Others (specify)

Sex: Male Female

Occupation: Service (Central Govt. State Govt. NGO
 Professional Statutory Body
 Retired Business Student
 Housewife Others (Specify) -----

Name of business :
(Products / services provided)

Details of Guardian (If First Holder / Sole Holder is a minor)

First Name Mr. / Mrs. Middle Name Last / Search Name

Relationship with the applicant

Correspondence Address

City State

Country PIN

Telephone No. Fax No.

E-mail ID

For NRIs

Foreign Address

City State

Country PIN

RBI Ref. No. RBI Approval date

(Perforated Card)

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

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

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

NOTES:

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

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

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

ADJUSTMENT OF CDSL BILL WITH TRADING ACCOUNT

To,

FRR SHARES & SECURITIES LTD.

Dear Sir

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

X	X	X
_____	_____	_____
1st Holder	2nd Holder	3rd Holder

(Please Tear Here)

Application No. : Acknowledgement Receipt

Date : _____

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

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

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

Nomination Form

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

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

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

BO Account Details												
DP	1	2	0	6	8	1	0	0	Client ID			
Name of the Sole / First Holder												
Name of Second Holder												
Name of Third Holder												
Nominee details												
First Name												
Middle Name												
Last Name						Nominee Photo						
Address												
City						State						
Country						PIN						
Telephone No						Fax No.						
E-mail ID												
Relationship with BO (If any)												
Date of birth (If nominee is a minor)												

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

First Name											
Middle Name											
Last Name											
Address											
City						State					
Country						PIN					
Age											

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

Place: _____ Date: _____

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

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

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

Nomination accepted and registered wide Registration No. _____ Dated _____

For FRR Shares & Securities Ltd

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

Received nomination request from :

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

For FRR Shares & Securities Ltd

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS ***as prescribed by SEBI and Stock Exchanges***

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Byelaws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Signature X

Name of the client

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.)

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 trading using 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 IBT System 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, non-availability 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.

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.bseindia.com / www.nseindia.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges give a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

For any grievance / dispute please call or write to us at the below mentioned contact details :

FRR Shares & Securities Ltd
103/C, Mittal Towers,
Nariman Point,
Mumbai 400021.
Tele – 022-43344200. Fax – 022-43344223. Mobile - 9321291606
Email – jayesh.patel@frrshares.com

In case you are not satisfied with our response, please contact the concerned stock exchange as per the details given below :

Investor Grievance Cell,
Bombay Stock Exchange Ltd
P J Towers, 1st floor,
Dalal Street, Fort,
Mumbai 400001.
Tele – 022-22728097. Email – is@bseindia.com

Investor Grievance Cell,
National Stock Exchange of India,
Exchange Plaza,
Bandra Kurla Complex,
Bandra East,
Mumbai 400051
Tele – 022-26598190. Email – ignse@nse.co.in

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater

liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

X

Name of the client

Policies and Procedures related to Risk Management & Controls (Mandatory Document)

a) Refusal of orders for penny stocks :

FRR Shares & Securities Ltd (hereinafter called 'Member-NSE-BSE') does not encourage trading in penny stocks or securities falling in T2T or Z group of BSE and Member -NSE-BSE reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities.

Under exceptional circumstances and considering merits on case to case basis, trading in penny stocks/ T2T/Z category would be allowed to clients on delivery basis subject to stringent verifications of the client holdings, intentions and bonafide reasons given by the intending clients.

Orders/Trades/transactions will have to be executed through RO or HO by the Clients. However if observed that client/s is/are indulging in trading activities only in penny stocks or securities falling in T2T or Z group of BSE or carrying on any insider trading activity, the client account maybe immediately suspended without any reasons being given to the client/s.

Further client's traded volumes vis-a-vis market volumes will be considered and 15 % of market volumes will be allowed or such market volume as decided by the Member from time to time, subject to due diligence of the RMS and Compliance department. Further trading limits will be allowed subject to the client making margin payments, history of the client, trading pattern, intention of doing the trades. The said additional trading limits may not be allowed on a regular basis to the client/s.

b) Setting up of client exposure limits :

For all new registrations in the cash segment, a default gross exposure will be allowed which attracts a ₹1000.00 exchange levied VAR margins. For all existing clients exposures allowed will be based on the credit balance in ledgers + stocks lying in beneficiary account + margins (securities and cash) . However the member may at its own discretion allow additional exposure as per credit balances in client account / cash margins / collaterals deposited by the clients or client's track record.

For trading on Derivatives segment, for futures segment initial margin would have to be paid by the client as per requirements. The initial margins can be also provided by the client by way of depositing securities or utilizing the available credit balances in his account on any of the cash segments of any of the exchanges. However for all additional exposures, client will have to furnish additional margins as applicable or the member will have the right to close out such additional positions.

Further the client agrees not to take any fresh positions in securities under ban period as and when put by the exchanges. The client also agrees to bear the penalty if any charged by the exchange on such tradings.

c) Right to sell client's securities or close client's open positions :

The member will have the right to close out all open positions or sell client's securities, without any notice to clients, as and when the client defaults in his settlement/sale delivery / margin / MTM obligations in any segment of the exchanges. The close out / selling will be only to the combined extent of shortages in Margins / MTM or settlement obligations on all segments of exchanges.

d) Internal Shortages :

The Member has an existing policy in handling internal shortages, which is hereto annexed as Annexure A.

e) Restrictions or Regulations on Dealings of clients:

The Member and Client shall mutually decide, from time to time, the volume of business which the client shall be allowed to transact. However the Member shall have absolute discretion of reducing /restricting or zeroing the volumes of the client without any prior intimation/notice to the client interalia, in particular F&O segment having regards to :

- i) volatility in the market/market segments of respective stock exchanges
- ii) in view of impending price sensitive announcements by the Exchanges/Listed Companies
- iii) any restrictions in relation to volume of trading / outstanding business or margins stipulated by Stock Exchanges
- iv) political/financial instability in the country or otherwise
- v) presence of any other price sensitive factors in the economy
- vi) failure by the client to maintain the applicable collaterals / margins with the member as per the Stock Exchange Byelaws, Rules and Regulations and Circulars and Guidelines of SEBI
- vii) delays by the client in meeting its obligations / dues relating to the business / dealings done by the client under this Member Client Agreement (mandatory and voluntary clauses)
- viii) observing /discovery of any abnormal behaviour / action / deed /trading pattern of the client's dealing with the member for eg. cheque bouncing, non fulfillment of sale obligation, any regulatory action taken by any of the regulators, ban of the client by SEBI, etc.
- ix) in shares of a company where the merchant banking department is doing some due diligence or managing a assignment for the company
- x) in scrips which are relisted and where the circuit filters are not applicable on the day of relisting.
- xi) one share orders will be not allowed except for high value scrips after considering the client's history and trading pattern.

h) De-registering a client :

The Member will de-register a client without any prior intimation / notice, in addition to the termination clause of the client member agreement, with regards to :

- a. the client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force;
- b. in the event of member becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any criminal proceedings or any illegal business or the member becoming aware of the client's past offenses which are illegal or prohibited by the regulatory bodies of the country or under any law being in force
- c. the death of the client;
- d. the depository account with member is closed and no alternative depository account details are provided;
- e. the client makes a voluntary written request to de-register itself/himself;
- f. in the event of member becoming aware of client defaulting in meeting its obligations to the member
- g. on the specific written directions of any statutory / legal authority/Regulatory Authority.

I) Dormant accounts :

The client hereby takes a note that if the client does not do a transaction for a period/gap of 6 months, his/her Account will be treated as a dormant account. The client agrees to give a letter to the member for activating his/her dormant account along with copies of all latest supporting documents i.e. proof of residential address, proof of bank' account, proof of demat account (FRR DP account to be ignored) . The client will also provide his telephone details and email ids, if any. For Derivatives account, client in addition to the above will have to provide theproof of income of last financial year as on the date of request for activating the dormant account.

I have read and understood the above policy for RMS and Controls of the member and state that I will strictly abide by the conditions laid in this policy.

X

(Signature of the client)

Name of the Client :

Date : _____

INTERNAL SHORTAGE HANDLING / BUY IN PROCEDURE ANNEXURE A

THE SAID PROCEDURE IS ADHERED TO WHENEVER THERE IS AN INTERNAL SHORTAGE IN A SCRIP IN THE SAME SETTLEMENT I.E. BUYER AND SELLER BOTH ARE FRR CLIENTS AND SELLER HAS NOT DELIVERED.

The member will purchase the shares on the pay out day of the purchase settlement (shortage) and the rate at which the purchases are made will be the price considered for accounting effects.

Let's consider an example,

In Settlement No. 001

Client Rajiv has purchased 100 Infosys Tech @ ₹1775.00

Client Jayesh has sold 100 Infosys Tech @ ₹1760.00

Now Jayesh has not given delivery of shares and Rajiv did not receive shares (due to internal shortage).

In Settlement No. 003 (pay out day of settlement 001), HO will again purchase 100 shares of Infosys Tech in Rajiv's A/c @ ₹1730.00

So here Jayesh will be debited and Rajiv will be credited @ ₹1730.00 plus the statutory charges and brokerages.

The rate at which the shares are re-purchased will be taken into consideration for debit / credit to the seller/buyer respectively.

In case the member is not in a position to purchase the shares as stated above due to the shares on the upper circuit filter or any exchange related action, the buy in will be done on the next day and subsequent days till the purchases are made or upon agreement by both the buyer and seller the shortages would be closed out at a common price.

The client acknowledges that he will be solely responsible for auctions in case he sells the shares in subsequent settlements and internal shortage procedure being not initiated or close out affected, for reason whatsoever, which are short due to the aforesaid internal shortage.

THE SHARES HAVE TO BE PURCHASED IN THE BUYERS ACCOUNT ONLY TO AVOID THIRD PARTY VIOLATIONS OF SEBI. IN THE ABOVE EXAMPLE, IF SHARES ARE PURCHASED IN JAYESH'S ACCOUNT AND TRANSFERRED TO RAJIV'S ACCOUNT IT WILL TANTAMOUNT TO 3RD PARTY DEALINGS.

I have read and understood the above policy for RMS and Controls of the member and state that I will strictly abide by the conditions laid in this policy.

X

(Signature of the client)

Name of the Client :

.....
Date :

TARIFF SHEET

a) Applicable brokerage rate :

Delivery based trades : _____ % Min _____ paise per share

Intra Day trades : _____ % Min _____ paise per share

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

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

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

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

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

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

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

Particulars	
Documentation Charges (one time)	
DP Agreement Charge	₹ 110
POA Agreement Charge	₹ 110
Account Maintenance Charges (per annum)	
Individual Account / Corporate	NIL
Dematerialization Charges (per request) DRF	
Certificate Processing Charges (per certificate)	₹ 2
Postage / Courier (per DRF)	₹ 20
Rejection DRF Postage / Courier	₹ 20
Rematerialization Charges (per request)	
Per certificate (100 qty.)	₹ 100
Postage / Courier (per certificate)	₹ 20
Transaction Charges (per Debit Instruction) Sell	
Market transactions per ISIN	Flat ₹ 25/-
Off Market transactions per ISIN	Flat ₹ 30/-
Bouncing of Demat Instruction Slip fine	₹ 10
Transaction Charges for Credits - Buy	
Market transactions	NIL
Off market transactions	NIL
Pledge / Hypothecation (per instruction)	
Creation	₹ 50
Closure	NIL
Invocation	₹ 100
Others	
SMS Alert Facility*	NIL
Statement of accounts on E-mail (Monthly)	NIL
Billing cycle	Monthly
Additional Statement	₹ 15

* Time being Free

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

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

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

**AGREEMENT BETWEEN A PARTICIPANT AND A PERSON
SEEKING TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

This Agreement made and entered into at _____
this _____ day of _____, between
FRR Shares & Securities Ltd, having its regional office at 106, Park 'N' Shop,
L-23, DLF Phase-II, Gurgaon, Haryana-122002 and registered office at 205,
Embassy Centre, Nariman Point, Mumbai-400 021. hereinafter called "the
Participant" of the One Part; AND _____,
having his/its residence/office/ registered office / address at _____

hereinafter called "the Beneficial Owner" of the Other Part.
WHEREAS the Beneficial Owner is desirous of opening a beneficial
owner's account with the Participant and the Participant has agreed to open
an account in the name of the Beneficial Owner and render services to the
Beneficial Owner as a participant, on the terms and conditions recorded
hereinbelow.

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY
AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

General Clause

1. The parties hereto agrees to abide by the provisions of the
Depositories Act, 1996, SEBI (Depositories and Participants)
Regulations, 1996 Bye Laws and Operating Instructions issued by
DSL from time to time in the same manner and to the same Extent as if
the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges
or deposits from time to time provided however that no increase
therein shall be effected by the Participant unless the Participant shall
have given at least one month's notice in writing to the Beneficial
Owner in the behalf. In case the Beneficial Owner committing a default
in the payment of any such amount payable to the Participant on their
respective due dates or within fifteen days of the same being
demanded (where no such due date is specified), the Participant shall
be entitled to charge interest on the amount remaining outstanding or
unpaid [not exceeding 18%] per annum or part thereof. On such
continued default, the Participant after giving two days notice to the
Beneficial Owner shall have a right to stop processing of instructions of
Beneficial Owners till such time he makes the payment along with
interest if any.

Statement of Account

3.1 The Participant shall furnish to the Beneficial Owner a statement of
his/its account at the end of every month if there has been even a
single entry or transaction during that month, and in any event once at
the end of each [quarter]. Such statement shall be in the form specified
in Operating Instructions. The Participant shall furnish such
statements at such shorter periods as may be required by the
Beneficial Owner on payment of such charges by the Beneficial Owner
as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the
statement of accounts in electronic mode and if the Beneficial Owner
is desirous of availing such services from the Participant, then the
Participant will furnish to the Beneficial Owner the statement of
accounts under its digital signature, as governed under Information
Technology Act, 2000. Provided however that in the event of the
Beneficial Owner requiring a physical copy of the statement of
accounts, despite receiving the same in the electronic mode, then
irrespective of having forwarded the same via electronic mode, the
Participant shall be obliged to provide a physical copy thereof to the
BO.

3.3 It is agreed and understood between the parties that if the Participant
does not have the facility of providing the statement of account in the
electronic mode, then the Participant shall be obliged to forward the
statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may
be caused to the Beneficial Owner by reason of his/its failure to intimate
change in the particulars furnished to the Participant from time to time,
unless notified by the Beneficial Owner.

Depository not liable for claims against Beneficial Owner

5. CDSL shall not be liable to the Beneficial Owner in any manner
towards losses, liabilities and/or expenses arising from the claims of
third parties or for any fees, charges, taxes, duties, levies or penalties
levied, imposed or demanded by any Central, State, statutory or
revenue authority in respect of securities credited to the Beneficial
Owner's account.

X Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it
shall, simultaneously with the execution of the Agreement furnish
to the Participant, a list of officials authorized by it, who shall represent
and interact on its behalf with the Participant. Any change in such list
including additions, deletions or alterations thereto shall be forthwith
communicated to the Participant, Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement
upon the Participant to close his/its account with the Participant in
the\and on the terms and conditions set out in the Bye Laws and the
proceed down in the Operating Instructions. In the event of
termination of this Agree the Beneficial Owner shall either get the
securities transferred to some on account or get the same
rematerialised.

X Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable
on it Agreement and/or on any deed, document or writing executed in
pursuant hereof between the parties hereto shall be borne and paid
by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither
party hereto shall be liable to indemnify or compensate the other for
any breach or non-performance or delay in performance of any
obligations under Agreement or for any harm, loss, damage or injury
caused to the other due to causes reasonably beyond its control
including but not limited to tide, storm cyclone, flood, lightning,
earthquake, fire, blast, explosion or any other act of God, war,
rebellion, revolution, insurrection, embargo or sanction, blockage, riot,
civil commotion, labour action or unrest including strike, lock-out
boycott, interruption or failure of any utility service, enemy action,
criminal conspiracy, act of terrorism or vandalism, sabotage, or
intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the
Agreement shall not be binding unless the same is in writing and shall
have been served delivering the same at the address set out herein
above against a written acknowledgment of receipt thereof or by
sending the same by pre-paid registered post at the aforesaid address
or transmitting the same by facsimile transmission, electronic mail or
electronic data transfer at number or address that shall have been
previously specified by the party to be notified. Notice given by
personal delivery shall be deemed to be given at the time of delivery.
Notice given by post in accordance with this clause shall be deemed to
be given at the commencement of business of the recipient of the
notice on the third working day next following its posting. Notice sent by
facsimile transmission, electronic mail or electronic data transfer shall
be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that
arise between them, abide by the provisions relating to
arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the
courts Haryana.

Governing Law

13. The Agreement shall be governed by the construed in accordance with
it laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and
subscribed to respective hands/seals to this Agreement in duplicate on
the day, month, year at place first hereinabove mentioned.

SIGNED AND DELIVERED by the within named For FRR SHARES & SECURITIES LTD
Participant FRR SHARES & SECURITIES LTD)
by the hand of its authorised representative)
Mr. _____)
in the presence of) Authorised Signatory
1. _____)

SIGNED AND DELIVERED)
by the within named Beneficial Owner) X
_____) X
in the presence of) (Client Signature)
1. _____)

VOLUNTARY DOCUMENTS

(VOLUNTARY)

POWER OF ATTORNEY IN FAVOUR OF FRR SHARES & SECURITIES LTD

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

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

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

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

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

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

1. To instruct the Depository Participant, being FRR to transfer securities held in my/our beneficial owner /demat account as provided in Schedule 1 ("client designated demat accounts") to such demat account of FRR as provided in Schedule 2 and / or designated by FRR and intimated to me from time to time ("FRR designated demat account") towards stock exchange related margin / delivery obligations arising out of trades executed by me/us through FRR on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. To make application and / or issue instruction for creation / invocation / closure of pledge on the securities/units held in my / our client designated demat accounts in favour of FRR for the limited purpose of meeting the margin requirements in connection with the trades executed by me / us through FRR on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.

X

1st Holder

X

2nd Holder

X

3rd Holder

3. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me / us under the agreements with FRR are duly and properly completed.
4. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
5. Pursuant to my/our instruction to apply for various products like Mutual Funds, Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
6. Pursuant to my/our instruction or instruction of my/our Authorised Representative, to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and / or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and / or otherwise as may be required to deal in the securities or other investment products.
7. Pursuant to my/our instruction or instruction of my/our Authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/ Body/ Authority and to receive and hold such rights or additional shares bonds or debentures.
8. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, sell or otherwise dispose off and invest in securities.
9. To sign the necessary forms and other documents if any and to file the same with the company/ies and / or Mutual Fund concerned for purchase, sell, redemption or otherwise transfer of such securities/ units of Mutual Funds and transferring it in my/our name.
10. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of Investment Product.
11. To do all such acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any securities and / or Investment Product for which services are availed from FRR.

X

1st Holder

X

2nd Holder

X

3rd Holder

12. To operate and to give delivery/receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through FRR on NSE, BSE, under my/our instructions
13. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
14. To correspond with and give notice to the corresponding Asset Management Company/Body Corporate/ Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated / instructed by me /us.
15. To comply and /or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
16. To arrange to return to me / us the securities that may have been received by FRR erroneously or those securities that FRR is not entitled to receive from me / us.
17. To do or omit to do all such acts and things as FRR may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
18. My/Our Attorney FRR shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/our application for any reason whatsoever.
19. My/our Attorney FRR shall not be liable for any transaction processed on the basis of information provided by FRR to the issuers / owners of securities or investment products in the applications or otherwise based on the information provided by me / us.
20. To send consolidated summary of my / our scrip wise buy and sell positions taken with average rates by way of SMS / e-mail at my / our registered mobile no. / email id as provided by me / us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

AND I/We hereby agree that FRR shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/us, which may be given orally, over the telephone, through the internet, electronically or in any other manner acceptable to FRR and such instructions shall be deemed to have been given by me/us and shall not be questioned by me/us and shall be conclusive and binding on me/us.

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

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

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

X

X

X

1st Holder

2nd Holder

3rd Holder

I/we hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/ cleared in full.
 This document shall be subject to the jurisdiction of the Courts in _____.

Name	Trading Code	Client Designated Demat account

Schedule 2 - FRR Designated Demat Account Nos :

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

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

Name of account holders	Signature (Full)
_____	X _____
_____	X _____
_____	X _____

In the presence of :

Witness : Name
 Signature

Detail of Co-parceners (for HUF accounts only)

Name of the Co-parceners	Date of Birth	Signature

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

For FRR SHARES & SECURITIES LTD

Authorised Signatory

Date :

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

Definitions:

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

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

Receiving Alerts:

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

Fees:

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

Amendments:

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

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

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

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

Mobile Number on which messages are to be sent

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

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

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

X _____ Signatures Sole/First Holder	X _____ Signatures Second Holder	X _____ Signatures Third Holder
Place _____		Date _____

VOLUNTARY DOCUMENTS Annexure to Client Registration Form

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

Constituent Registration Form :

The Constituent agrees to fill the Constituent registration form completed in all respects alongwith relevant documents and other related aspects as mentioned in the said Constituent registration form which is annexed to this Agreement.

The Constituent registration form duly complete in all respects shall be submitted to the Member along with this Agreement.

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

Constituent Code :

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

Type of Orders/Trades/Modification of Orders:

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

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

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

Contract notes/ Bills / Contract Cum Bills :

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

In the event the Constituent is not available or the Contract notes/bills and/or Contract cum Bill have not been collected by the Constituent or his/her/its authorised representative at the end of the trading day then the Member shall endeavor to deliver the said contract notes/bills / contract cum bill to the Constituent by Hand, by Registered A.D, by Speed post, by Certificate of posting.

Penalties, charges :

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

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

Statement of Accounts:

The Member shall provide to the Constituent statement of accounts as and when demanded by the Constituent and may be delivered by hand to the Constituent or his authorised representative and the Constituent or authorized representative shall duly acknowledge the same. The Constituent shall have to confirm the statement of account every three months of the financial year and if any discrepancy is noticed in the statement of accounts furnished by the Member the same shall be informed for rectification/clarification within seven days from the date of receipt of the Statement of Account by the Constituent.

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

Margins:

The Member shall have the right to collect Security Deposit in the form of margin from the Constituent and the Constituent hereby agrees to furnish ₹ _____ as Margin for the orders/trades/transactions that are put through the Member by the Constituent on or after executing this Agreement.

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

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

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

✓

Tape recording of client conversation :

The CLIENT is aware that the MEMBER may tape-record the conversations between the Client or the Client's representative and the MEMBER, either personally or over the telephone, and the Client hereby specifically permits the MEMBER to do so. Such electronic recordings, if any, may be relied upon by the MEMBER as and when required to resolve disputes in connection with the trading transactions.

Delivery of Securities:

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

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

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

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

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

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

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

✓

Closeout of Open Position of the Client :

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

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

Auction/Square off/close out:

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

Transfer of account from one Branch to another :

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

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

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

Name of the constituent :

Address :

Date :

Place :

ONLY FOR INDIVIDUAL

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



Dear Sirs,

SUB.: AUTHORITY LETTER FOR DEALINGS.

I Mr/Ms./Smt. _____ do hereby state that I am the husband/wife/son/daughter of _____. I am intending to have dealings with **FRR SHARES & SECURITIES LTD.** Members National Stock Exchange of India Ltd. and Bombay Stock Exchange Ltd. I hereby authorise my husband/ wife/ father/ daughter/ son _____ to execute orders on my behalf & deal on my behalf and any dealings/actions done on my behalf by my husband/wife/father/ daughter/son shall be acceptable to me & deemed to be Subject to the Bye laws, Rules and Regulations of the Exchanges from time to time.

The Specimen Signature of the Authorised person is given below:

Signature (in full) _____

Signature in short (initials) _____

I trust that I have complied with the requirements of the Member as per the Byelaws, Rules and Regulations of the Exchange.

Thanking you,

Yours faithfully,

Signature **X**.....

Date:

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



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

Respected Sir,

I/We _____ have entered into Member Constituent agreements prescribed for trading on NSE and BSE. Pursuant to completion of registration formalities you have allocated the above said client code to me/ us and we wish to commence trading on BSE and NSE on all segments.

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

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

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

Thanking You,
Yours Faithfully,

X

.....
Name and Signature of the client

Date:

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



Dear Sir,

Ref: Online trading account
Sub : Authority letter for operating the Online trading account

I the below signed have decided to open an online trading account with FRR Shares & Securities Ltd, Member Bombay Stock Exchange Ltd, Mumbai and Member, National Stock Exchange of India Ltd for buying and selling of securities in capital and futures and options (derivatives) segments of both the exchanges.

I hereby authorize my husband / son / brother / father named below to execute all deals through the online trading platform of Member FRR Shares & Securities Ltd, on both the exchanges, on behalf of me and I shall be fully liable for the dealings / orders / trades/transactions that are executed by the said authorized person and shall abide by the respective Exchange Bye laws, Rules and Regulations.

Name of the Person

Signature

.....

.....

It is also decided that the said authorized person is hereby authorized to sign all documents and papers relating to operating of the said account with the member. The email address to be used for my online account is and the above mentioned person is authorized to operate the online account.

X
.....

Name and Signature of the client

HUF



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

Dear Sirs,

We the Members of the Joint Hindu undivided family do hereby authorise Mr. _____
(karta of the family to execute deals through FRR Shares & Securities Ltd. Member, National Stock Exchange of India Ltd. & Member of Bombay Stock Exchange Ltd. on behalf of the above Hindu Undivided Family (hereinafter called HUF) and we state that we are jointly and severally responsible for the dealings/orders/trades/transactions that are executed by the Karta Mr. _____ on behalf of the HUF and shall abide by the respective Exchange Bye laws, Rules and Regulations.

We further state that we all are well aware of the Stock Exchange procedures and shall comply Exchange provisions under its Byelaws, Rules and Regulations and also provide with the necessary information / details from time to time above member.

We further state that in the event of any claims/difference or dispute with the Member in respect of the dealings/trades/ transactions that the executed by the Karta through the Member, the same shall be brought to the notice of either of the parties and shall resolve amicably and in the event of there is any dispute the same shall be referred to arbitration as per the procedures prescribed under the respective Bye laws, Rules and Regulations of the Exchanges.

We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognise the beneficiary account No. _____ with Depository _____ DP ID _____ opened in the name of Shri _____ who is the Karta / Manager of this H.U.F.

Name of the Co-parceners	Date of Birth	Signature

We trust that we have complied with the requirements of the Member/Broker as per the Byelaws, Rules and Regulations of the Exchange.

Thanking you,

Yours faithfully,
For _____

Karta

Date :

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



Dear Sir/Madam

RE : Authority to collect contracts, bills, ledger and all other correspondence.

I _____ do hereby state that we are your registered client having executed the Client Registration Form and the Member Client Agreement and having dealings on the Bombay Stock Exchange Ltd. and National Stock Exchange of India Ltd. and putting orders through your terminal situated at _____ for trading on all the segments of the respective stock exchanges.

I hereby authorise Mr. _____ to collect the contracts from your office on my behalf and the specimen signature of the aforesaid person is as given below :

Specimen Signature in full :

Specimen Signature in half:

I also state that all my contracts, bills, ledger statements and any other correspondence in my name issued by your company will be deemed as delivered to me if acknowledged by the above said authorised person.

Thanking you,
Yours truly

I agree and confirm

Name & Signature of client **X**

Name & Signature of the Authorised Person

Date :

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



Dear Sir,

Unique Client code no:.....

Demat ID :.....

Sub : Digital Contract notes/account statements

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

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

I/We also agree that the dispatch of the digital contract note from the member's end shall constitute deemed delivery of the same, unless bounced back, and it shall be my /our responsibility to check my / our emails for the same. I/We also agree to bring to the member's notice any discrepancy within 24 hours of receipt of the digital contract note failing which the contract shall be considered as accepted and acknowledged in toto without any discrepancies, save and except typographical and technical errors.

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

Email address :

Email address :

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

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

Thanking you,
Yours truly,

X
.....
Signature

Note on Prevention for Anti Money Laundering (PMLA rules 2002)

The Prevention of Money Laundering Act, 2002 (PMLA) was brought into force with effect from 1st July 2005. Necessary Notifications / Rules under the said Act were published in the Gazette of India on July 01, 2005 by SEBI.

The PMLA guidelines requires all intermediaries to adhere to these guidelines and try and implement the requirements while dealing for their clients apart from the stringent client identifications. Some of the other requirements are as given hereafter :

RISK CATEGORIZATION OF CLIENTS :

High Risk Clients :

1. Trust accounts
2. Clients who are refusing to provide their financials details / source of income.
3. Non - Individual Clients having close family shareholdings i.e. less than 5 shareholders or if a single person shareholding is more 75% of the total shares.
4. Loss making Non- Individual clients or if reserves and surplus balance is less than ₹ 5 lacs.
5. Clients against whom any action has been taken by SEBI/Stock Exchange or any other regulatory authority.
6. Corporate / Partnership Firms / any other entities with track record of less than 2 years.
7. Individual clients whose employer is a politician, income tax / custom department / any other government department.
8. NRI clients
9. Corporate clients not disclosing the identity, address of Directors, not giving financial statements.
10. Clients residing in highly sensitive areas, for example, naxalite regions, areas where dealing in narcotic drugs, immoral traffic, corruption, etc is highly predominant. This includes person residing in UAE, Chandrapur (India), Kashmir (India), Leh-Ladakh, Pakistan, Kuwait, Irar & Iraq, Bangladesh.
11. Client having bank account with countries where secrecy of the account is maintained.

Medium Risk Clients :

1. Individuals whose annual income ranges for last three years is ₹ 25,00,000 and above and who have not submitted any financial documents.
2. Client whose account is operated by POA holder other than FRR.
3. Clients who has given trading authorization in some other person's name, (excluding sub broker)
4. Housewife Accounts
5. Clients who have not given the nature of business or nature of business are lending, investment, finance credit etc.

Low Risk Clients :

All clients not meeting the above criterions are low risk clients.

EXAMPLES OF REASON FOR SUSPICION AND OF SUSPICIOUS TRANSACTIONS

The examples given herein below have been structured around the business processes within our industry. The list of examples is not exhaustive. The examples below should be read in the context of the particular transaction.

The regular monitoring of all customers — both new and longstanding — must include consideration of whether accounts are being used for questionable purposes.

While it is impossible to list all the transactions or circumstances that might raise a suspicion of money laundering, the following questions should be closely considered:

- Is the customer willing to accept uneconomic terms without apparent reason?
- Is the transaction inconsistent with legitimate business activity?
- Is the transaction inconsistent with the normal pattern of the customer's activity?
- Is the transaction inconsistent with the customer's account-opening documents?
- Has the customer requested that the transaction be cleared in a way that is inconsistent with normal practice?
- Has the customer received wire transfers from, or sent wire transfers to, countries that have not previously been
- associated with the customer's business?
- Is the customer or the customer's business activity associated with countries recognized by regulators as high-risk money laundering centers?

New business

- False identification documents
Identification documents which could not be verified within reasonable time
- A person for whom verification of identity proves unusually difficult or who is reluctant to provide details
- Non-face to face clients or doubt over the real beneficiary of the account
- Accounts opened with names very close to other established business entities
- A person where there are difficulties and delays in obtaining copies of meaningful accounts or other documents of incorporation;
- Involvement of countries where production of drugs or drug trafficking may be prevalent, or which have particular problems with organised crime, terrorism, corruption or fraud.
- A client with no discernible reason for using the firm's service (e.g. clients with distant addresses who could find the same service nearer their home base, or clients whose requirements are not in the normal pattern of the firm's business and could be more easily serviced elsewhere)
- An investor introduced by an overseas bank, affiliate or other investor, when both investor and introducer are based in countries where production of drugs or drug trafficking may be prevalent;

Dealing patterns

- Transactions not in line with the investor's normal trading activity / Unusual activity compared to past transactions.
- Buying and selling of an investment with no rationale purpose or in circumstances which appear unusual (e.g. churning at the client's request)
- Usually trading in low-grade securities ie. "penny" stocks
- Trades with no economic rationale or bona fide purpose
- Doubtful sources of funds
- Appears to be a case of insider trading"
- Investment proceeds transferred to a third party
- Transactions reflect likely market manipulations
- Suspicious off market transactions
- Use of different accounts by client alternatively
- Sudden activity in dormant accounts
- Activity inconsistent with what would be expected from declared business.
- Account used for circular trading
Large number of accounts having a common account holder, introducer or authorized signatory with no rationale
- Unexplained transfers between multiple accounts with no rationale

Abnormal transactions

- Involvement of apparently unrelated third parties;
- A number of transactions by the same counterparty in small amounts of the same investment and then sold one transaction, the proceeds being credited to an account different from the original account;

- Any transaction in which the nature, size or frequency appears unusual (e.g. early termination of packaged products at a loss due to front end loading, or early cancellation, especially where cash had been tendered and/ or the refund cheque is to a third party);
- Transactions not in keeping with normal practice in the market to which they relate (e.g. with reference to market size and frequency, or at off-market prices);
- Other transactions linked to the transaction in question which could be designed to disguise money and divert it into other forms or to other destinations or beneficiaries.
- Value just under the reporting threshold amount in an apparent attempt to avoid reporting
- Large sums being transferred from overseas for making payments
- Inconsistent with the clients apparent financial standing
- Inconsistency in the payment pattern by client
- Block deal which is not at market price or prices appear to be artificially inflated/deflated.

Intermediaries

- There are many clearly legitimate reasons for use of an intermediary. However, the use of intermediaries also introduces further parties into transactions thus increasing complexity and preserving anonymity.
- Any apparently unnecessary use of an intermediary should give rise to further enquiry.

Employees and agents

- Changes in employee characteristics (e. g. lavish life styles or avoiding taking holidays);
- Changes in employee or agent performance (e. g. salesman has a remarkable or unexpected increase in performance);
- Any dealing with an agent where the identity of the ultimate beneficiary or counterparty is undisclosed, contrary to normal procedure for the type of business concerned.

Payment

- A number of transactions by the same counterparty in small amounts of the same investment and then sold in one transaction;
- Payment by way of third party cheque or money transfer where there is a variation between the account holder, the signatory and the prospective investor.

Delivery

- Settlement to be made by way of bearer securities from outside a recognised clearing system;
- Allotment letters for new issues in the name of persons other than the client.
- Involvement of third parties for receipt / delivery of securities

I / We have read the above and state that I will not indulge in any activity which can be deemed as money laundering or violations of any of the above criteria.

X

.....
Name of the Client & Signature

Date :

FOR INDIVIDUAL / NON INDIVIDUAL

Date :

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

Dear Sirs,

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

I hereby confirm that I have received the photocopies of the client registration form, client member agreement and the risk disclosure document along with the supporting documents executed by me. I also acknowledge receipt of the copies of the DP agreement and POA.

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

Thanking you,

Yours truly,

X
.....
Name and Signature of the Client

FORMAT
DECLARATION BY FIRM (SOLE PROPRIETARY) ON LETTER HEAD OF THE FIRM

Date :

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

Dear Sir,
I refer to the trading account opened with you in the name of _____ and declare and authorise you as under. I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations to facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorise you to recognise the beneficiary account No. _____ with depository _____ having DP ID opened in the name of the undersigned who is the sole proprietor of the firm.

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

Signature (with seal of the firm)

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

Yours truly,

Signature (of proprietor only)

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

Date :

To,
FRR Shares & Securities Ltd.
205, Embassy Centre, Nariman Point, Mumbai - 400 021.

Dear Sir,
We refer to the trading account opened with you in the name of _____ and declare and authorize you as under. We recognise that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. _____ with depository _____ having DP ID _____ opened as a joint account in the names of the partners of the firm. We agree that the obligations for shares purchased / or sold / or margin by the firm will be handled and complied through transfers to/from the above mentioned account. We recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect or trades executed in the above trading account of the firm.

Thanking you,

Yours faithfully,

for

- 1)
- 2)
- 3)
- 4)

(Signed by all Partners of the Firm with the stamp of the firm)

FORMAT
AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER(S)
(To be obtained on pre-printed Letterhead of Firm)
AS APPLICABLE

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

Dear Sir,
 We the partners of M/s. _____ ,
 a partnership firm, having its office at _____
 office address _____
 city _____ state _____ hereby authorize
 Mr./Mrs. _____ and
 Mr./Mrs. _____ to open a securities trading
 account in Capital Market segment, F&O segment and Retail Debt Market segment on behalf of the firm
 M/s. _____ with the Trading Member M/s. FRR Shares
 & Securities Ltd. for sale and purchase of shares/debentures/derivative instruments in Capital market
 segment (CM), Futures and Options segment (F&O), Currency Derivatives Segment and/or Retail Debt
 Market segments (RDM) or any other segment that may be introduced by NSE/ BSE in future. He/ is
 authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said
 Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by
 him. Mr./Mrs. _____ and
 Mr./Mrs. _____ is/are authorized to sell,
 purchase, transfer, endorse, negotiate documents and/or/ deal through FRR Shares & Securities Ltd. on
 behalf of the firm M/s. _____ He/She/They is/are
 also authorized to sign, execute and submit such applications, undertakings, agreements and other
 requisite documents, writing and deeds as may be deemed necessary or expedient to open account and
 give effect to this purpose. However any partner/authorized signatory (ies) can issue cheques from bank
 account(s) in favour of FRR Shares & Securities Ltd. for credit to Share Trading account of the firm with
 M/s. FRR Shares & Securities Ltd. even though his/their signatures may not be available on the records of
 FRR Shares & Securities Ltd. These cheques will be issue from the account of partnership firm and the said
 amount so given shall be solely/exclusively for the account of the firm maintained with FRR Shares &
 Securities Ltd.

1)
 for M/s. _____

 Name & Signature of the Partner

2)
 for M/s. _____

 Name & Signature of the Partner

3)
 for M/s. _____

 Name & Signature of the Partner

4)
 for M/s. _____

 Name & Signature of the Partner

5)
 for M/s. _____

 Name & Signature of the Partner

6)
 for M/s. _____

 Name & Signature of the Partner

FORMAT

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE ON LETTER HEAD OF THE COMPANY AS APPLICABLE

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF M/S. _____ AND HAVING ITS REGISTERED OFFICE AT _____ HELD ON _____ DAY OF _____

RESOLVED THAT the Company be registered as CLIENT with FRR Shares & Securities Ltd. Member National Stock Exchange of India Ltd. (NSE) & Member Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing in equities, derivatives, debentures, debt products and the said Member be and is hereby authorized to honour instructions oral or written, given on behalf of the Company by any of the under mentioned authorised signatories:-

Sr. No.	Name	Designation
1.		
2.		
3.		

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal through FRR Shares & Securities Ltd. on behalf of the Company.

RESOLVED FURTHER THAT Mr./Mrs. _____ and/of Mr./Mrs. _____

Directors of the Company be and are hereby authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary of expedient to give effect to this resolution.

AND RESOLVED FURTHER THAT, the Common Stamp of the Company be affixed, wherever necessary, in the presence of any Directors or of any one director and Company Secretary, who shall sign the same in token of their presence.”

for _____ Ltd.

Chairman / Company Secretary

CLIENT REGISTRATION FORM

TRADING & DEMAT

Name of Applicant..... Code :

Branch Name.....



www.frrshares.com

FRR SHARES & SECURITIES LIMITED

Member : NSE Sebi Regn. No. INB / INF / INE 231397234

Member : BSE Sebi Regn. No. INB / INF 011397230

Depository Participant CDSL : Sebi Regn. No. IN-DP-CDSL-591-2010

Registered Office :
205, Embassy Centre, Nariman Point, Mumbai-400 021
Tel. : 22833825 Fax : 22852919
Website : www.frrshares.com