



CLIENT REGISTRATION FORM

FOR
INDIVIDUAL / HUF / CORPORATE / PARTNERSHIP FIRM
(Capital Market / F&O Segment)



FE SECURITIES PRIVATE LIMITED

Member :- NSE • TM No.: 07596 • Clg. No.: M50463

Member :- BSE • TM & Clg. No.: 3057

CIN : U74999DL1995PTC069239

SEBI Registration No.: INZ 000240438
(NSE - CM Segment) • Dt. 08-08-1995
(NSE-F&O Segment) • Dt. 29-03-2006
(BSE-Cash Segment) • Dt. 22-09-2005

Regd. Office :

814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Trading Office :

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E-mail : fes@fesecurities.in

For any grievance/dispute please contact FE SECURITIES PRIVATE LIMITED at the above address or e-mail id- nsecomplaint@fesecurities.in / bsecomplaint@fesecurities.in - Ph.No. +91-11-23350670. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in - Phone No. +91-22-26598190, at (BSE) is@bseindia.com - Phone No. +91-22-22728097.

Client Name : _____

UCC Code : _____ Client Code : _____

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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 Requirments
Corporate	<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. • Authorised signatories list with specimen signatures.
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.
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.
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.

ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-20
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	21-24
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	ANMI Booklet Annexure 4 Page 1- 4
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure 5 Page 5- 7
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	Annexure 6 Page 8
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	25
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	26
7.	Disclosure Information	Client based trading & pro-account trading.	27
	Blank Page		28

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority.	29-30
2.	Running Account Authorisation	Letter where in Client Authorises Stock Broker to maintain running account.	31
3.	Banker's Verification	Letter from Bank for Client Bank Account Verification	32
4.	Addendum to the Client Registration Form/ Key Information	Information regarding prevention of money laundering	33
5.	Internal Document	Risk Category Information.	34
6.	Authorisation to issue the contract notes and other statements/reports in digital format	Authorisation to issue the contract notes and other statements/reports in digital format	35
7.	Electronic Contract Note	Electronic Contract Note	36
8.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution to be provided by Corporate entities on their letter head for opening of account	37
9.	Format of Declaration to be given by Partnership Firm	To be given by the Partners of the firm for opening of account	37

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

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

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

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

Please Submit the KYC Documents on A4 Size Paper Only.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Simplified (for low risk customers)☐ Small☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

PHOTO

 Signature / Thumb Impression

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*

ISO 3166 Country Code of Birth*

☐ 3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)(Certified copy of **any one** of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

State / U.T Code*

City / Town / Village*

ISO 3166 Country Code*

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*																		
Line 2																		
Line 3																		
District*					Pin / Post Code*					State / U.T Code*			ISO 3166 Country Code*					

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

Line 1*																		
Line 2																		
Line 3																		
State*					ZIP / Post Code*					City / Town / Village*					ISO 3166 Country Code*			

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off)					Tel. (Res)					Mobile				
FAX					Email ID									

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name*	Prefix	First Name	Middle Name	Last Name

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

<input type="checkbox"/> A- Passport Number		Passport Expiry Date	
<input type="checkbox"/> B- Voter ID Card			
<input type="checkbox"/> C- PAN Card			
<input type="checkbox"/> D- Driving Licence		Driving Licence Expiry Date	
<input type="checkbox"/> E- UID (Aadhaar)			
<input type="checkbox"/> F- NREGA Job Card			
<input type="checkbox"/> Z- Others (any document notified by the central government)		Identification Number	
<input type="checkbox"/> S- Simplified Measures Account - Document Type code		Identification Number	

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - - Place :



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Place	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>						
Emp. Name									
Emp. Code									
Emp. Designation									
Emp. Branch									

[Employee Signature]

INSTITUTION DETAILS

Name **FE SECURITIES PRIVATE LIMITED**
Code **IN0227**

[Institution Stamp]



FATCA & CRS Declaration - Individual

PAN UCC Code DP Client ID

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on
 (Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicate the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform FE Securities Private Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Signature



Date :

Place :

For Investor convenience, FE Securities Private Limited (FESPL) is collecting this mandatory information for updating, whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at our office or you can dispatch the hard copy to-

FE Securities Private Limited
814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

• For Details please visit www.fesecurities.in



FE SECURITIES PRIVATE LIMITED

INDIVIDUAL

MEMBER : NSE & BSE, SEBI REGN. NO.: INZ000240438

Registered Office : 814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Office : 802, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-23350670, 23350672, 23317382, 23317385

E-mail : fes@fesecurities.in • **Website :** www.fesecurities.in

CONSENT LETTER FOR AADHAAR

Consent under Aadhaar Act, 2016

Date : _____

PAN :

Aadhaar No :

I hereby provide my consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating/ authenticating and (iii) updating/ sharing/ disclosing my Aadhaar number in accordance with the Aadhaar Act, 2016 (and regulations made there under), PMLA and SEBI Regulations.

Yours faithfully



Signature

Name :

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- 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.
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- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- 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:

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- 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.)

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

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

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- 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:

- 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).
- 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
Corporate	<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 Authorized signatories list with specimen signatures
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 Authorized 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
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
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

Please Submit the KYC Documents on A4 Size Paper Only.

Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant PAN of the Applicant

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
1.						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
2.						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
3.						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
4.						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
5.						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

Name & Signature of the Authorised Signatory(ies) **PEP:** Politically Exposed Person **RPEP:** Related to Politically Exposed Person

Name & Signature of Authorised Signatory

Date / /

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

☐ 1. ENTITY DETAILS* (Please refer instruction A at the end)☐ Name*

Entity Constitution Type*

☐

Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN*

☐

Form 60 furnished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (Pol)* (Please refer instruction B at the end)☐ Officially void document(s) in respect of person authorised to transact☐ Certificate of Incorporation / Formation
☐ Registration Certificate

Regn. Certificate No.

☐ Memorandum and Articles of Association☐ Partnership Deed☐ Trust Deed☐ Resolution of Board / Managing Committee☐ Power or attorney granted to its manager, officers or employees to transact on its behalf☐ Activity Proof - 1 (For Sole Proprietorship Only)☐ Activity Proof - 2 (For Sole Proprietorship Only)☐ 3. ADDRESS* (Please refer instruction C at the end)

3.2 Local Address in India (If different from Above)*

Proof of Address*

☐ Certificate of Incorporation / Formation☐ Registration Certificate☐ Other Document

Line 1*

Line 2

Line 3

District

Pin / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

3.1 Registered Office Address / Place of Business*

Line 1*

Line 2

Line 3

District

Pin / Post Code*

State / U.T. Code*

ISO 3166 Country Code*

☐ 4. CONTACT DETAILS (All communication will be sent to Mobile number / E-mail ID provided may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ 5. NUMBER OF RELATED PERSONS

(Please refer instruction E at the end)

☐ 6 REMARKS (If any)

7. APPLICANT DECLARATION (Please refer Instruction G at the end)

- I/we hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : - -

[illegible]

Signature / Thumb Impression of Applicant

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copy ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date - -

[illegible][illegible][illegible][illegible]

INSTITUTION DETAILS

Name **FE SECURITIES PRIVATE LIMITED**

Code IN0227

PAN

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

 UCC Code

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

 DP Client ID

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

Name _____

Type of address given at KYC KRA

Residential	<input type="checkbox"/>
-------------	--------------------------

Residential of Business	<input type="checkbox"/>
-------------------------	--------------------------

Business	<input type="checkbox"/>
----------	--------------------------

Registered Office	<input type="checkbox"/>
-------------------	--------------------------

City of incorporation _____

Country of incorporation

Net Worth in INR. In ₹ Lakhs Net Worth as on DD / MM / YYYY
(Date should not be older than one year)

Entity Constitution Type	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> HUF	<input type="checkbox"/> Private Limited Company	<input type="checkbox"/> Public Limited Company	<input type="checkbox"/> Society	<input type="checkbox"/> AOP/BOI
Please tick as appropriate	<input type="checkbox"/> Trust	<input type="checkbox"/> Liquidator	<input type="checkbox"/> Limited Liability Partnership	<input type="checkbox"/> Artificial Juridical Person	<input type="checkbox"/> Others specify	

Please tick the applicable tax resident declaration -

I. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other; please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

<p>I. We are a, Financial institution <input type="checkbox"/> (Refer I of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)</p>	<p>GIIN <input type="text"/></p> <p>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of sponsoring entity _____ _____</p>
<p>GIIN not available (please tick as applicable)</p>	<p><input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI</p> <p><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer I A of Part C)</p>

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (<i>that is, a company whose shares are regularly traded on an established securities market</i>) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (<i>a company whose shares are regularly traded on an established securities market</i>) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company
☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust
☐ Others (please specify _____)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

NON-INDIVIDUAL

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

* To include US, where controlling person is a US citizen or green card holder

[§] If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

[§] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform FE Securities Private Limited for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOL).

Name

Designation

Sign here :



Date :

Place :

For Investor convenience, FE Securities Private Limited (FESPL) is collecting this mandatory information for updating, whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at our office or you can dispatch the hard copy to-

FE Securities Private Limited
814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

• For Details please visit www.fesecurities.in



FE SECURITIES PRIVATE LIMITED

MEMBER : NSE & BSE, SEBI REGN. NO.: INZ000240438

Registered Office : 814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Office : 802, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-23350670, 23350672, 23317382, 23317385

E-mail : fes@fesecurities.in • **Website :** www.fesecurities.in

CONSENT LETTER FOR AADHAAR - FOR COMPANIES

Date : _____

Dear Sirs,

Company Name : _____

PAN : _____

Please update my Aadhar Numbers, as an Authorised Person in the above company, holding a demat/trading account with yourselves. I am enclosing a copy of my Aadhar card/ e- Aadhar for your reference. Appended below are my details:

Name of Authorised Person 1: _____

Aadhar No. (4-4-4): _____

Name of Authorised Person 2: _____

Aadhar No.(4-4-4): _____

Name of Authorised Person 3: _____

Aadhar No.(4-4-4): _____

I submit my above Aadhar number and voluntarily give my consent.

I hereby provide my consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating/ authenticating and (iii) updating/ sharing/ disclosing my Aadhaar number in accordance with the Aadhaar Act, 2016 (and regulations made there under), PMLA and SEBI Regulations.

Yours faithfully,



Signature of Authorised Person (1)

Signature of Authorised Person (2)

Signature of Authorised Person (3)



FE SECURITIES PRIVATE LIMITED

MEMBER : NSE & BSE, SEBI REGN. NO.: INZ000240438

Registered Office : 814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Office : 802, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-23350670, 23350672, 23317382, 23317385

E-mail : fes@fesecurities.in • **Website :** www.fesecurities.in

CONSENT LETTER FOR AADHAAR - FOR HUF

Consent under Aadhaar Act, 2016

Date : _____

HUF PAN :

Aadhaar No. (Karta) :

I hereby provide my consent in accordance with Aadhaar Act, 2016 and regulations made there under, for (i) collecting, storing and usage (ii) validating/ authenticating and (iii) updating/ sharing/ disclosing my Aadhaar number in accordance with the Aadhaar Act, 2016 (and regulations made there under), PMLA and SEBI Regulations.

Yours faithfully



Signature

Name of Karta :



FE SECURITIES PRIVATE LIMITED

MEMBER : NSE & BSE, SEBI REGN. NO.: INZ000240438

Registered Office : 814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Office : 802, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-23350670, 23350672, 23317382, 23317385

E-mail : fes@fesecurities.in • Website : www.fesecurities.in

DECLARATION BY HUF

This is to certify that following are the family members under _____ (HUF)

S.No.	Name	Gender (Male/Female)	Relation with Karta	Date of Birth (DD/MM/YYYY)							
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
10.											

For _____ (HUF)

Karta

KNOW YOUR CLIENT (KYC) APPLICATION FOR INDIVIDUALS

Note: The information to be given in the form, is the sole property of **FE Securities Private Limited** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

PHOTOGRAPH

Please affix
the recent
passport size
photograph
and sign across it

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

A. IDENTITY DETAILS

Name of the Applicant :

Father's/Spouse Name :

Gender : ☐ Male ☐ Female Marital Status : ☐ Single ☐ Married

Date of Birth : Nationality :

Status : ☐ Resident Individual ☐ Non Resident ☐ Foreign National

Permanent Account Number (PAN) :

Unique Identification Number (UID) / Aadhaar, if any :

Specify the proof of identity submitted :

B. ADDRESS DETAILS

Correspondence Address :

City/Town/Village : State :

Country: Pin Code :

Contact Details : Tel.: (O).....Tel. (R).....

Mobile Fax

E-mail.....

Specify the proof of address submitted
for correspondence address

Permanent Address :

(If different from above or
overseas address, mandatory
for Non-Resident Applicant)

City/Town/Village : State :

Country: Pin Code :

Specify the proof of address :
submitted for Permanent address

DECLARATION

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

_____
Signature of the Applicant

Date : _____(dd/mm/yyyy)

FOR OFFICE USE ONLY

- ☐ Originals verified and self attested documents copies received.
- ☐ KRA download

Signature of the Authorized Signatory

Seal/Stamp of the Intermediary

Date :

KNOW YOUR CLIENT (KYC) APPLICATION FOR NON-INDIVIDUALS

Note: The information to be given in the form, is the sole property of **FE Securities Private Limited** and would not be disclosed to anyone unless required by law or except with the express permission of the client.

PHOTOGRAPH

*Please affix
the recent
passport size
photograph
and sign across it*

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

Name of the Applicant :

Date of incorporation :

Place of incorporation :

Date of commencement of business :

Permanent Account Number (PAN) :

Registration No. (e.g. CIN) :

Status (Please tick any one) : ☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities
☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Govt. Body ☐ Non-Govt. Organization
☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐ Others _____

B. ADDRESS DETAILS

Correspondence Address :

City/Town/Village : State :

Country: Pin Code :

Contact Details : Tel.: (O).....Tel. (R).....

Mobile Fax

E-mail.....

Specify the proof of address submitted :
for correspondence address

Permanent Address :
(If different from above or
overseas address, mandatory
for Non-Resident Applicant)

City/Town/Village : State :

Country: Pin Code :

Specify the proof of address :
submitted for Permanent address

C. OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :

PHOTOGRAPH

Sign across the
Photograph

PHOTOGRAPH

Sign across the
Photograph

Name.....

PAN.....

Residential Address.....

.....

.....

DIN :

UID :

Name.....

PAN.....

Residential Address.....

.....

.....

DIN :

UID :

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors :

: ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

Any other information :

DECLARATION

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



Signature of Authorised Signatory

Date : _____(dd/mm/yyyy)

Name of Authorised Signatory _____

FOR OFFICE USE ONLY

☐ Originals verified and self attested documents copies received. ☐ KRA download

Signature of the Authorized Signatory

Date :

Seal/Stamp of the Intermediary

TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-Individuals)

A. BANK ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)




Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving		
			<input type="checkbox"/> Current		
			<input type="checkbox"/> Others - in case of NRI / NRE / NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS (Through which transactions shall generally be routed)

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

C. TRADING PREFERENCES

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

Stock Exchange	Market Segment/s
<input type="checkbox"/> National Stock Exchange	<input type="checkbox"/> Cash  _____ <input type="checkbox"/> F&O  _____
<input type="checkbox"/> Bombay Stock Exchange	<input type="checkbox"/> Cash  _____

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

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years :

.....

.....

E. DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS

If client is dealing through the Authorised Person, provide the following details:

Authorised Person Name :

SEBI Registration number :

Registered office address :

Ph : Fax : Website :

Whether dealing with any other stock broker (in case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker :

SEBI Regn. No.:

Client Code : Exchange :

Details of disputes/dues pending from/to such stock broker.

.....

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

.....

Specify your Email id, if applicable :

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

.....

Number of years of Investment/Trading Experience :

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: (Use separate sheet)

Name.....

Designation.....

PAN.....

UID.....

Residential Address.....

.....

.....

Signature.....

Any other information :

.....

PHOTOGRAPH

Sign across the
Photograph

G. ADDITIONAL DETAILS

Gross Annual Income Details : Income Range per annum : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac
(please specify) ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net-worth as on (date)..... ()
(Net worth should not be older than 1 year)

Occupation : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional
(please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others

Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)

Any other information :

H. INTRODUCER DETAILS (optional)

Name of the introducer :
(Surname) (Name) (Middle Name)

Status of the Introducer : ☐ Auth. Person ☐ Remisier ☐ Existing Client ☐ Others _____

Address and Ph. No. of the Introducer :

..... Sign. of the Introducer.....

I. NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee :

Relationship with the Nominee :

PAN of Nominee : Date of Birth of Nominee :

Address and Ph. No. of the Nominee :

.....

If Nominee is a minor, details of guardian :

Name of the Guardian :

Address and Ph. No. of Guardian :

.....

Sign. of Guardian.....

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

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DECLARATION

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

Place _____

Date _____



Signature of Client / Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

Client Code : _____

	Document 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.

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

INSTRUCTIONS / CHECK LIST

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

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

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

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ authorised person's office.
 - 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.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - 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.

COMPANY POLICY & PROCEDURES
REFUSAL OF ORDERS FOR PENNY STOCKS

The stock broker discourages orders of penny stocks. The dealers have been cautioned against transacting in such securities. The stock broker has the right to refuse to trade in such stocks, however in extreme cases, the quantity may be limited and/or the full payment/delivery may be taken in advance. Any loss of profit caused by delay in executing such transactions shall be borne by the client only.

SETTING UP CLIENT'S EXPOSURE LIMITS

Each client will have an upper exposure limit based on the margin requirements of NSE/BSE and SEBI and the amount of money available with the broker. However, the broker has the authority to reduce these limits based on risk perception of the market at that point of time. The reduction may sometimes have to be done without informing the client; however the client will be informed subsequently. Any losses incurred on account of the above shall be borne by the client only. It is the fundamental responsibility of the client to transact within his financial parameters and is duty bound to meet his pay in obligations of securities and funds.

In case of inadequacy of margin available the client may be stopped from taking any fresh position, and the broker is entitled to square off the clients position in case the client is unable to meet his required financial obligations within the stipulated time period.

APPLICABLE BROKERAGE RATES

The Brokerage rates for the various segments, both Capital Market & Derivatives are stated in the attached sheet and are to be signed by the broker and client in token of acceptance. The rates are well below the limit specified by SEBI.

IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES.

As stated above, the Client is duty bound to meet the delivery obligations arising from net sold position and fund obligation from net debit status within time. The company primarily does not impose penalty / delayed payment charges as the case maybe. However Exchange charges for short delivery will be to the Client's account as well all debits/credits arising from the Auction procedure. The company does not believe in delayed payment charges or other methodology which would be equivalent to allowing the client time to meet his funds liabilities. The company views such non payment seriously and would affect exposure limits in the future. However the company has the right to withhold the securities and dispose the securities in such an unpaid case per SEBI Circular and any costs of retention and any loss on disposal would be to the Client's account.

RIGHT TO SELL CLIENT'S SECURITIES /CLOSE POSITIONS ON NON PAYMENT

It is not the policy of the company to unilaterally sell client's securities or close positions. Whenever such a situation arises, if the Client fails to respond appropriately, the company will take action for square out / disposal per SEBI Circular. The cost, debits, and losses if any will be to the Client's account and the Client will be liable for any debit balance remaining in the account.

SHORTAGES ARISING OUT OF INTERNAL DELIVERY SETTLEMENT

These will be dealt with Exchange Guidelines.

REFUSAL TO INCREASE POSITION OR CLOSE EXISTING POSITION

The Company reserves the right not to increase positions/exposure of the Client taking into account the Client's account status and capacity, risk perception & management, market status and related issues prevailing at that point of time. The company will always allow a transaction reducing the Client's position.

TEMPORARY SUSPENSION/CLOSING ACCOUNT AT CLIENT'S REQUEST

As the Client is the only person to operate his account through order placement, it is the sole prerogative of the Client to trade, not to trade, suspend or close the account. The instruction to suspend or close the account will need to be in writing. However any debits in the account are to be settled irrespective of account suspension/closure.

DEREGISTERING A CLIENT

The company reserves the right to deregister a Client without assigning any reasons, by giving a written notice in the manner prescribed by the Exchanges from time to time.

Client's Name : _____



BROKERAGE STRUCTURE

FE SECURITIES PRIVATE LIMITED

SEBI Regn. No. : INZ000240438

Regd. Office : 814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

A. BROKERAGE RATES :

NSE

BSE

CAPITAL MARKET

DELIVERY (%)
Minimum (per share)

JOBING (both sides) (%)
Minimum (per share)

FUTURES & OPTIONS

FUTURES (%)
Minimum (per share)

OPTIONS (%)
Minimum (per share)

Brokerage on Option contracts is charged on the premium only

B. Stamp Duty is as per the applicable Stamp Duty Act.

C. GST is per the rates prescribed.

D. Securities Transaction Tax is per the rates prescribed.

E. Transaction Charges as per levied by the Exchange.

F. DP Charges are levied on securities payin from NSDL D.P. other than Stockholding Corpn.

For FE Securities Private Limited

Authorised Signatory



Client's Signature

Date :

Place :

Client's Name :

DISCLOSURE INFORMATION

To,

Sir,

This is to inform you that we FE Securities Pvt. Ltd. do client based trading and Pro-account trading.

Thanks and best regards

For **FE Securities Private Limited**

Authorised Signatory

FE SECURITIES PRIVATE LIMITED

SEBI Regn. No. : INZ000240438

Regd. Office : 814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

I acknowledge receipt of your information that you do client based trading and Pro account trading.



Client's Signature

Client's Name : _____

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LETTER OF AUTHORITY

Date : _____

Client Name : _____

Client UCC : _____

Client Code : _____

FE SECURITIES PRIVATE LIMITED

SEBI Regn. No. INZ000240438

Regd. Office : 814, Arunachal, 19, Barakhamba Road,
New Delhi-110001**Sub: Letter of Authority Cash / F&O Segment of the Exchanges.**

I/we dealing with you as client at NSE/BSE in cash, derivative segments and in order to facilitate ease of operations, I/we authorise you as under :

1. I/we authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/we hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/we hereby authorise you to transfer/pledge the securities which I have given to you to Clearing Member/Clearing Corporation to meet the Settlement / Exposure Limit / Margin obligation on my/our behalf as required from time to time.
4. I/we request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any of the Exchanges unless I/we instruct you otherwise..
5. I/we request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
6. I/we request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of _____
I/we will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same.
7. I/We will inform you the change of my/our email ID, if any, in future either by signed letter or through a digitally signed e-mail.
8. I/We are aware and acknowledge that trading on all exchanges is in Electronic mode, based on Vsat, Lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer systems to place and route orders and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc.

LETTER OF AUTHORITY

These are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading, or any such other problem/glitch whereby you are not able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control and may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/we agree that I/we shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever.

9. I/We confirm that I/we shall never sublet the trading terminal on any form of connectivity from my place to any other place without your prior approval.
10. I/we am/are agreeable for inter-settlement transfer of securities towards settlement of my obligations.
11. I/we am/are agreeable to & authorise you to with hold funds pay-out towards all the applicable margins and debits.
12. All fines/penalties and charges/bank charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.

I have a Trading relationship with FE SECURITIES PVT. LTD. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason



Client's Signature

(In case of Corporates. please affix company seal)

Client's Name : _____

RUNNING ACCOUNT AUTHORISATION

Date :

Client Name : _____

Client UCC : _____

Client Code : _____

FE SECURITIES PRIVATE LIMITED

SEBI Regn. No. INZ000240438

 Regd. Office : 814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Dear Sirs,

I/We are dealing through you as a client in various segments of the recognised stock exchange(s) and in order to facilitate ease of operations and maintain upfront margin for trade, I/We authorize you as under:

1. I/we request and authorise you to maintain running account(s) for me/ us and from time to time debit funds from running accounts and make pay-in of funds to exchange(s)/ clearing corporations/ other Exchange designated party (ies) to settle my/ our trades/ dealings. Similarly, where I /we have to receive funds in settlement of trades/ dealings please keep the monies with you and make credit entries for the same in my running accounts maintained by you. Further, the funds can be transferred from one segment to another and from one exchange to another as per the requirements, as permitted by Regulations.
2. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain additional funds towards future funds,/ margin requirement as may be permitted by the Exchange Regulations.
3. I/we request you to retain funds lying to my/our credit in running accounts as margin/ collateral/ pay in / other future obligation(s) at any segment(s) of any or all the Exchange(s)/ Clearing Corporation unless I/we instruct you to transfer the same to my/our account, subject to Exchange Regulations.
4. I/ we authorize you to transfer funds from my / our account for one exchange & / or one segment of the exchange to my / our account for another exchange & / or another segment of the same exchange whenever applicable as found necessary. I/we also agree and authorise the stock broker to treat/ adjust the margin/ security lying in one exchange & / or one segment of the exchange/ towards the margin/ security/ pay in requirements of another exchange & / or another segment of the exchange.
5. I/we request you to settle my funds and securities account : ☐ Once in a Calendar Month (within 30 days) or ☐ Once in every Calendar Quarter (within 90 days) or such other higher period as may be allowed by Regulations except the funds given towards collaterals / margin in the form of Bank Guarantee and/or Fixed Deposit.

The running account authorization provided by me shall continue and remain valid until it is revoked by me in writing, at my discretion.

Thanking you,

Yours faithfully,



Client's Signature

BANKER'S VERIFICATION

To,

Dated :

FE SECURITIES PRIVATE LIMITED

Regd. Office : 814, Arunachal

19, Barakhamba Road, New Delhi-110001

Dear Sir,

This is to certify that the savings / current account no. _____ of

Mr. / Ms / M/s. _____ held jointly with

Mr. / Ms / M/s _____ with our

branch, has been active since _____.

We confirm that the signature of the client agrees with the specimen held in our records. This verification is without any responsibility on the part of the bank or the signing officer.

Signature of Client



signed in my / our presence and attested by me / us

Bank Name & Address	
Name & Signature of Authorised Signatory	
Stamp of the Bank Branch	

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

Date _____

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we are hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dated 31/12/2010 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company reserves the right to seek information, record constituent's telephonic calls and/or obtain or retain documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source of documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with-in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.



Client's Signature

Client's Name : _____

INTERNAL DOCUMENT

FE SECURITIES PRIVATE LIMITED

MEMBER : NSE / BSE

Client Name : _____

Client UCC : _____

Client Code : _____

RISK CATEGORIZATION

Low Risk	
Medium Risk	
High Risk	
H.N.I.	
NRI	
SPECIAL CATEGORY	

AUTHORISATION TO ISSUE THE CONTRACT NOTES AND OTHER STATEMENTS/REPORTS IN DIGITAL FORMAT**FE SECURITIES PRIVATE LIMITED**

Date : _____

SEBI Regn. No. INZ000240438

Regd. Office : 814, Arunachal, 19,
Barakhamba Road, New Delhi-110001

Dear Sir,

Contract Notes and Other Statements /Reports in Electronic/Digital Format
Authorisation to issue the Contract Notes and other statements/reports in Digital Format.

I/We authorize you to issue the contract notes for my/our trades in Digital Format and my/our details are given below:

My/our U C I (Client Trading Code)_____ Back Office Code:_____

My/our B.O. ID : _____

My/our designated Email ID : _____

This authorization is subject to the relevant provisions stated under "Electronic Contract Notes(ECN) in the Document- Rights and Obligations of Stock Brokers, Sub Brokers and Clients, which is already with me/us and which is reproduced and signed by me/us on the reverse of this authorization.

I/we agree that I/we will not hold you responsible under any circumstances in the event of an email, which you send, gets bounced due to any reason such as mail box being full, inactive account or due to any technical reason beyond your control. It is also understood that the non receipt of bounced mail notification by you shall amount to delivery of the contract note at my/our designated email ID.

I/we will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of the email and will not dispute the same

Any change in my/our email ID, in future, shall be promptly communicated by a duly signed letter delivered by hand, courier, registered post or a digitally signed email.

Kindly advise the date from which the ECN shall be issued.

Thanking you,

Yours faithfully,

_____
Client's Signature

Client Name : _____

Address : _____

ELECTRONIC CONTRACT NOTE

EXTRACT FROM "RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB BROKERS AND CLIENTS"
As prescribed by SEBI and Stock Exchanges

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 e-mail Id through a physical letter. If the client has opted for internet trading, the request for change of e-mail Id may be 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-tamperable and in compliance with the provisions of the I T 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 I T 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 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.



Client's Signature

Client's Name : _____

**FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT
(TO BE PRINTED ON LETTER HEAD OF COMPANY)**

**CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD
OF DIRECTORS OF _____ (Co. Name) CONVENED ON
THE _____ (date) / TIME AT _____
_____ (Venue)**

"RESOLVED THAT an account for the purpose of trading in Securities be opened with M/s. **FE Securities Pvt. Ltd.**, SEBI Regn. No. INZ000240438, Member - National Stock Exchange of India Ltd. & Bombay Stock Exchange Ltd., hereinafter referred to as the Broker, for undertaking sale & purchase of Securities on the said exchange(s).

FURTHER RESOLVED THAT Shri _____ and Shri _____, Directors of the Company, be and are hereby, authorised severally to do all such acts, deeds, things and sign all documents papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with Broker.

FURTHER RESOLVED THAT the aforementioned Directors, be and are hereby, authorised severally, to give instructions on behalf of the Company. for conducting trading in Securities for and on behalf of the Company.

FURTHER RESOLVED THAT, a copy of this resolution be forwarded to the Broker by Shri _____ or Shri _____ Directors, & the Broker, be instructed to honour the instructions of Shri _____ and / or Shri _____, Directors of the Company to carry on trading in Securities.

Certified true copy

For (Name of the Company)

Dated :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Director

Place :

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

To,
FE SECURITIES PRIVATE LIMITED Date _____
Regd. Office : 814, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Dear Sir,

We refer to the trading account being opened / opened with you in the name of _____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. 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 _____ opened as a joint account in the names of the partners of the firm.

We agree that the obligations for Securities purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above Securities trading account of the firm.

We hereby authorize _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with FE Securities Pvt. Ltd., and to place order for buying and selling of Securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership.

Name of Partners (in block letters)	Signature

NOTES





FE SECURITIES PRIVATE LIMITED

Regd. Office :

814, Arunachal, 19, Barakhamba Road, New Delhi-110001

Trading Office :

802, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-23350670, 23350672, 23317382, 23317385

E-mail : fes@fesecurities.in

CIN : U74999DL1995PTC069239

SEBI Registration No.: INZ000240438