

# Client Registration Form

EQUITY • F&O • CURRENCY



## Flourish Fincap Pvt. Ltd.

Member : NSE, BSE & MCX-SX

Client Name \_\_\_\_\_

Client Code \_\_\_\_\_



## **Flourish Fincap Pvt. Ltd.**

SEBI Registration Numbers :

**NSE CM** : INB 231303034, F&O : INF 231303034 • Dated : 31-07-2008

**BSE CM** : INB 011303030, F&O : INF 011303030 • Dated : 31-12-2010

**MCX-SX** : INE 261303034 • Dated : 30-09-2008

### **Registered Office :**

409 & 416, Essel House, 10, Asaf Ali Road, New Delhi-110002

Ph.: 011-23233965, 23238038, 23238251, Fax : 011-23238344

E-mail : [flourishfincap@yahoo.com](mailto:flourishfincap@yahoo.com)

Website : [www.flourishfincap.com](http://www.flourishfincap.com)

### **Compliance Officer**

MANU MITTAL

Ph.: 011-43512775

Email : [info@flourishfincap.com](mailto:info@flourishfincap.com)

### **CEO**

A. K. MITTAL

Ph.: 011-23233965

Email : [director@flourishfincap.com](mailto:director@flourishfincap.com)

For any grievance/dispute please contact FLOURISH FINCAP PVT. LTD. at the above address or email id-[info@flourishfincap.com](mailto:info@flourishfincap.com) and Phone No. +91-11-43512775. In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) [ignse@nse.co.in](mailto:ignse@nse.co.in) and Phone No. +91-22-26598190, (BSE) [is@bseindia.com](mailto:is@bseindia.com) and Phone No. +91-22-22728097, (MCX-SX) [investorcomplaints@msx-sx.com](mailto:investorcomplaints@msx-sx.com) and Phone No. +91-22-67318933/9000.

## 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 apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions/clarifications to PAN

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

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

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

**E. List of people authorized to attest the documents:**

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

**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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• 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).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed. List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

**ANNEXURE - I**  
**ACCOUNT OPENING KIT**

**Mandatory**

**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.	1-4
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	5-8
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).	Given to Client with Welcome Kit
3.	*Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	*Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	9-12
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	13

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Letter of Authorization	Letter where in Client Authorizes Stock Broker to maintain running account and to accept verbal orders etc.	14-16
2.	SMS Disclaimer	Communication through SMS & email	16
3.	Authorization Letter for Electronic Communication	Where the client authorizes the stock broker to send contract notes and other documents in electronic form	17
4.	Authorisation	Authorisation	18
4.	Authorisation for Authorised Person	Authorisation	18
5.	Declaration for Name Discrepancy in PAN Card, Bank Proof & Address Proof	Declaration	19
6.	Prevention of Money Laundering	Declaration	20

**For Other Formats download please visit our website [www.flourishfincap.com](http://www.flourishfincap.com)**

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**KNOW YOUR CLIENT (KYC) APPLICATION FOR INDIVIDUALS**

**Note:** The information to be given in the form, is the sole property of **Flourish Fincap Pvt. Ltd.** 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

**C. OTHER 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  >25 Lac OR

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 : .....

**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) True Copies of documents received  (Self-Attested) Self Certified Document copies received

\_\_\_\_\_  
Signature of the Authorized Signatory

Date :.....

Seal/Stamp of the Intermediary

**KNOW YOUR CLIENT (KYC) APPLICATION FOR NON-INDIVIDUALS**

**Note:** The information to be given in the form, is the sole property of **Flourish Fincap Pvt. Ltd.** 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**

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)

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) True Copies of documents received  (Self-Attested) Self Certified Document copies received

\_\_\_\_\_  
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"/> NSE <input type="text"/>	<input type="checkbox"/> Cash <input type="text"/> <input type="checkbox"/> F&O <input type="text"/> <input type="checkbox"/> Currency Derivative <input type="text"/>
<input type="checkbox"/> BSE <input type="text"/>	<input type="checkbox"/> Cash <input type="text"/> <input type="checkbox"/> F&O <input type="text"/>
<input type="checkbox"/> MCX-SX <input type="text"/>	<input type="checkbox"/> Currency Derivative <input type="text"/>

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

**D. PAST ACTIONS**

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

.....  
 .....

**E. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS**

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

Sub-broker's Name : .....

SEBI Registration number : .....

Registered office address : .....

.....

Ph : ..... Fax : ..... Website : .....

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

Name of stock broker :.....

Name of Sub-Broker, if any :.....

Client Code :..... Exchange :.....

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

**F. ADDITIONAL DETAILS**

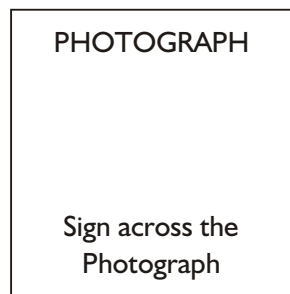
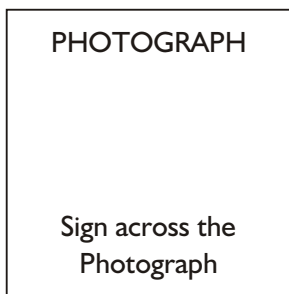
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :  
.....

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:



Name.....

Designation.....

PAN.....

UID.....

Residential Address.....  
.....  
.....

Signature.....

Name.....

Designation.....

PAN.....

UID.....

Residential Address.....  
.....  
.....

Signature.....

Any other information : .....

**G. INTRODUCER DETAILS (optional)**

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

Status of the Introducer :  Sub Broker  Remisier  Auth. Person  Existing Client  Others \_\_\_\_\_

Address and Ph. No. of the Introducer : .....

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

**H. 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) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place \_\_\_\_\_

Date \_\_\_\_\_



\_\_\_\_\_  
Signature of Client / All Authorized Signatory (ies)

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**POLICIES AND PROCEDURES AS PER SEBI CIRCULAR NO. MIRSD/ SE /CIR-19/2009 DATED 3 DEC, 2009**

**1. Refusal of orders for penny/illiquid stock**

The stock broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s)/SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

**2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific/volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that

the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate/advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more means or methods such as post /speed post/courier/registered post/registered A.D/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company/newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin /security requirements for his/ her /its orders/trades/deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she/it shall be responsible for all orders (including any orders that may be executed

without the required margin in the client's account) &/or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker &/or exchange &/or SEBI.

The stock broker is entitled to vary the form (Le., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time.

The margin/security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include/appropriate any/all payout of funds &/or securities towards margin/security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker.

The client also agrees and authorises the stock broker to treat/adjust his/ her/its 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.

The stock broker is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

### **3. Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs.10/ - or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts

shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

### **4. Imposition of penalty/delayed payment charges**

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates as may be determined by the stock broker. The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/transactions/services that the client avails from the stock broker.

### **5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account\ of non-payment of client's dues**

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/closing outs etc., shall be solely to the account of the client and the

client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin/security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds/securities.
- ii. To withhold/disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are

pending delivery/receipt.

- iv. To liquidate/square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

#### **6. Shortages in obligations arising out of internal netting of trades**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day

#### **7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

We have margin based RMS System. Client may take exposure upto the amount of margin available with us.

Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

#### 8. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However

notwithstanding any termination of the agreement, all transactions made under/pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

#### 9. Policy regarding treatment of inactive accounts:

When Trade is not done in an account for more than 3 months, Stock Broker reserves the right to temporary suspend the operations. The Management may allow operations in such account after making such verification as it deems fit.

#### Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

**For and On Behalf of Constituent**

 \_\_\_\_\_ Name : \_\_\_\_\_

**BROKERAGE SLAB (SUBJECT TO CHANGE WITHOUT NOTICE)****EQUITY SEGMENT**

Brokerage Slab	Slab in %	Minimum per Share	Single Side / Both Side
Delivery Based			
Square Off			

**F & O SEGMENT**

Brokerage Slab	Slab in %	Minimum per Share	Single Side / Both Side
Future			
Options			

**CURRENCY DERIVATIVES SEGMENT**

Brokerage	Slab in %	Minimum Brokerage per Lot

In case of physical contract note are being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date may be charged towards minimum processing fee.



(Signature of Client)

**INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING**

Dear Constituent

Under instruction of SEBI, National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE) and MCX Stock Exchange Ltd. (MCX-SX) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash and F&O Segment of NSE, and Cash and F&O Segment of BSE, and Currency Derivatives Segment of MCX-SX

Kindly take note of the above and oblige.

Thanking you

For **Flourish Fincap Pvt. Ltd.**

Authorised signatory

I have read the above letter.



(Signature of Client)

**LETTER OF AUTHORISATION**

Dated :.....

To,

**Flourish Fincap Pvt. Ltd.**

Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002

**Sub : Letter of Authority - NSE/BSE and MCX-SX (All Segment)**

I/We am/are dealing in securities with you at NSE/BSE/MCX-SX in Capital Market Segment, F&O Segment and Currency Derivatives Segment and in order to facilitate ease of operations. We authorize you as under :

**1. Running Account:**

- a. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
- b. I/We request you to retain securities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/We instruct you to transfer the same to my/our account.
- c. I/We request you to settle my fund and securities account  **Once in every calendar Quarter** or  **Once in a calendar Month** or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

**2. Set off of outstanding:**

I/We authorize 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 and / or against the value of cash margin or collateral shares provided to you by me / us. I further authorise you to debit the financial charge @2% per month of the debit balance, if any, in my account and not settled as per the exchange requirement.

**3. Delivery of order/ trade confirmation/ cancellation:**

I/We hereby authorize 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 and confirmation issued by you.

**4. Adjustment of balances in Family Accounts:**

Sl. No.	Client Code of Family Members/Associates	Name of Family Members /Associates	Category	Name of Father / Spouse	Signatures

I/We authorize you to adjust the credit balance available in my account of any segment, against any debit balance of any segment outstanding in the account of above mentioned family members or any other party or company with whom /in which I'm otherwise interested or director in the aforesaid company (Names given below).

.....  
.....  
.....  
.....  
.....

**5. Authorization to Use Margin:**

I hereby authorize you to keep all the securities which we give you in margin including the payout of securities received, to use the securities for meeting margin / other obligation in stock exchange in whatever manner which may include pledging of shares in favour of bank and/or taking loan against the same for meeting margin/pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.

I further authorize the stock broker as per the requirement of SEBI Circular no. MIRSD/ SE /Cir-19/2009 dated December 3, 2009 that in case of any outstanding obligations on the settlement date, the stock broker may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

**6. Telephonic Conversation:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

**7. Collection of Notes, Bills etc.**

I/We will collect from your office contract notes. Bills, securities, etc. as per my/our convenience and these are not to be dispatched at my address given to you.

**8. Electronic Mode of delivery:**

I/We request that you may send/ Dispatch me contract notes other documents through E-mail: on my designated E-mail address of..... I/We stress that I/we will not hold you responsible under any circumstances in the event of an E-mail 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.

**9. Log Report:**

I/We will completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of E-mail to me and will not dispute the same.

**10. Change in E-mail Id:**

I/We will inform you any change in my E-mail, if any, in future, in physical mode by regd. post or by hand delivery and through a digitally signed E-mail.

**11. Electronic Trading:**

Trading of NSE is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

**12. Sub Letting of Terminal:**

I/We confirm that I/we will never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.

**13. Inter Settlement of Securities:**

I/We am/are agreeable for inter-settlement transfer of securities towards settlements.



**14. Hold of funds Pay outs:**

I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.

**15. Fines & Penalties:**

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

**16. Charges & Balance Maintenance:**


I/We have a Trading As well as depository relationship with ..... Please debit the charges relevant with depository services and courier charges for sending physical contract notes & other documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

17. I/We am /are aware that above authorisation is voluntary on my/our part and that I/We can revoke this authorisation at my point of time during the operation of my/our trading account with you by giving you a notice in writing.

\*Strike off the clauses not relevant to you.

Thanking you,  
Yours faithfully,

**For and On Behalf of Constituent**

 \_\_\_\_\_  
(Client Signature)

Name : \_\_\_\_\_

**Voluntary**

**SMS DISCLAIMER**

SMS Alert service is given to the clients of FLOURISH FINCAP PVT. LTD. with the sole intention to aid their information means.

SMS Alert from FLOURISH FINCAP PVT. LTD. are based on technical analysis and top & bottom breakouts from charts & available statistics on any given point of time.

The recommendation made herein do not constitute and offer to sell or a solicitation to buy any of the securities mentioned in SMS Alert. Readers using the information contained in SMS are solely responsible for their actions. The information and views contained in SMS are believed to be reliable but no responsibility or liability is accepted for errors of act or opinion by FLOURISH FINCAP PVT. LTD.. analysts may or may not have trading or investment positions in securities mentioned in SMS Alert.

Client's Trading Code :

Client's Name :

Client's Signature :  \_\_\_\_\_

Date :

**AUTHORISATION FOR ELECTRONIC CONTRACT NOTES**

To,

Dated : .....

**Flourish Fincap Pvt. Ltd.**

Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002

I/We have been/shall be dealing through you as my/our broker on the Capital Market Segment and/or F&O Segment and/or Currency Derivatives Segment and/or Interest Rate Futures Segments . As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

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

1. \_\_\_\_\_
2. \_\_\_\_\_


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

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

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

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

Thanking you,  
Yours faithfully

 \_\_\_\_\_  
(Client Signature)

Client Name: \_\_\_\_\_

**AUTHORISATION**


To,  
**Flourish Fincap Pvt. Ltd.** Dated :.....  
Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002

Dear Sir,  
I/We understand that in case, of my/our failure to make the funds pay in or delivery of securities for my/our deals/trading by designated day, you are entitled to sell off in the market the securities received in payout and/or deem our position closed out at applicable rates; or

I/We do hereby request you not to carry out such sell off in the market of the securities received in pay out and/or deem my/our positions closed out and I/We shall in consideration there of pay the opportunity cost/interest on such non sold off securities and/or non closed out position without demur or protest at such opportunity cost and/or interest as you shall determine entirely at your discretion.

I/We do hereby indemnify and agree to compensate for any losses, penalties you may suffer for agreeing to this direction.

Thanking you,  
Yours faithfully,

 \_\_\_\_\_  
(Client Signature)

Client Name \_\_\_\_\_

[Note : To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

**AUTHORISATION FOR AUTHORISED PERSON**

To,  
**Flourish Fincap Pvt. Ltd.** Dated :.....  
Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002


Dear Sir,  
I have been/shall be dealing through you as my broker i.e. agent on the Cash Segment and/or Futures & Options Segments / Currency Derivatives Segment, Mutual Fund at NSE/BSE/MCX-SX.

I/We authorised Mr./Ms. \_\_\_\_\_ R/o \_\_\_\_\_  
\_\_\_\_\_ to deal/transact on my/our behalf and to place orders, give instructions, make & receive payments of securities and monies, collect contract note bills, order confirmations, trade confirmations, account statements and any other documents, settle the account, enter into any compromise and to do any and all act(s) on my/our behalf which I/we can do. And I/We the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her shall substitute my/our act, deeds and things validity done by me/us to all intents and purposes.

Please treat this authorisation as written ratification of my/our verbal directions/authorisations given and carried out by you earlier.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our authorisation given above.

Thanking you,  
Yours faithfully,

 \_\_\_\_\_  
(Client Signature)

Client Name \_\_\_\_\_

[Note : To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

**DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF**

To,

**Flourish Fincap Pvt. Ltd.**Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002

I \_\_\_\_\_ s/o, w/o, d/o \_\_\_\_\_

\_\_\_\_\_, refer to my Trading Account

\_\_\_\_\_ with Flourish Fincap Pvt. Ltd. (FFPL) do hereby affirm, declare and undertake that

1. That my name as it appear on my trading account is \_\_\_\_\_
2. That my name as it appears on my demat account is \_\_\_\_\_
3. That my name as it appears on the Income Tax website is \_\_\_\_\_
4. That my name as it appears on the Address proof is \_\_\_\_\_
5. That my name as it appears on my Pan Card is \_\_\_\_\_
6. That my name as it appears on the Bank Proof is \_\_\_\_\_
7. That above mentioned names, on Trading account, Demat account, Tax website, Address proof, PAN Card No. \_\_\_\_\_ and Bank account bearing no. \_\_\_\_\_ are mine alone.
8. That I hereby request FFPL to maintain my name in Demat and Trading account as per the name appearing on the website / PAN card.
9. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. FFPL may, at its sold discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
10. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
11. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to FFPL.
12. That I further declare that I am responsible and I shall indemnify & keep indemnified FFPL, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cum- undertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to FFPL is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.



\_\_\_\_\_

(Client Signature)

(Client Name) \_\_\_\_\_

**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 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 ISD/CIR/RR/AML/2/06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec 12 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 has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained 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 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 Signature

**DECLARATION BY SALES PERSON/SUB-BROKER/AUTHORISED PERSON (for the use of FFPL only)**

Date :.....

To,

**Flourish Fincap Pvt. Ltd.**

Regd. Office : 409 & 416, Essel House,  
10 Asaf Ali Road, New Delhi-110002

Dear Sir,

This is in reference to the trading account under consideration in the name of.....

R/o....., I declare that

I have met the above captioned person personally & have verified copy of under mentioned KYC documents with original, which is enclosed with account opening form & I also confirm that client has signed at the designated places in this form in his/her own hand in my presence.

The following KYC documents are checked and verified from the original documents :

- 1. ....
- 2. ....
- 3. ....
- 4. ....
- 5. ....
- 6. ....
- 7. ....

Date of verification of documents :

The above statement is true and correct and made under my own free mind without having any coercion, misrepresentation or fraud.

Name of the person :

Signature :

Employee / Branch Code :

For office use :

Name of Officials :	
Remark :	

This page should be left blank intentionally

## CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE :  ACCOUNT OPENING DATE :    TM DP	BRANCH CODE :  RL/TL  SUB BRANCH CODE :	CLIENT CODE  TM :  DP :
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I.	CHECKING DETAILS	YES	REMARKS		
a)	Name as it appears on the ID & Address Proof (in capital letter)				
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>				
c)	Signature Checked and Verified.				
d)	Photograph (duly signed) <input type="checkbox"/>				
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>				
f)	Address Proof (Self Attested) <input type="checkbox"/>				
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>				
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>				
i)	Stamp Paper : <input type="checkbox"/>				
j)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> BSE CM <input type="checkbox"/> BSE F&O <input type="checkbox"/> MCX-SX Currency				
2.	<b>Telephonic confirmation of Particulars done</b> by _____ Date _____ Time _____ On Phone No. _____				
3.	<b>Details Punched in Computer by</b> _____				
4.	<b>Cross Checking done by</b> _____				
5.	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;"> <b>UCC UPLOADED :</b>  <input type="checkbox"/> NSE   <input type="checkbox"/> BSE   <input type="checkbox"/> MCX-SX                 </td> <td style="width: 50%; padding: 5px;"> <input type="checkbox"/> ENTERED IN FORM DATA                 </td> </tr> </table>	<b>UCC UPLOADED :</b> <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MCX-SX	<input type="checkbox"/> ENTERED IN FORM DATA		
<b>UCC UPLOADED :</b> <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> MCX-SX	<input type="checkbox"/> ENTERED IN FORM DATA				
6.	<b>BACK OFFICE WEB LOGIN</b> User Name ID _____ Password _____				
7.	<b>DP WEB LOGIN</b> User Name ID _____ Password _____				
8.	<b>Form sent to Surveillance by</b> _____ <b>Date :</b> _____ <b>Time :</b> _____				
9.	<b>Client ID Mapping done by</b> _____ Branch ID _____ User ID: _____ Dealer ID : _____				
10.	<b>INTERNET TRADING</b> <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net User ID _____ Password _____				
11.	<b>Client Account Status Report issued by</b> _____				
12.	<b>Form Returned to Compliance by</b> _____ <b>Date :</b> _____ <b>Time :</b> _____				
13.	<b>Kit Dispatched on</b> _____ <b>(Date)</b> _____ <b>Pod No.</b> _____				

Client Code	<input type="text"/>
Client Name	<input type="text"/>
Branch Code	<input type="text"/>
Branch Name	<input type="text"/>
Date of Regn.	<input type="text"/>
Recommended By	<input type="text"/>

## OUR SERVICES

- Equities • Derivatives • Commodities • Currency Derivatives
- Mutual Fund • IPO's • Online Trading



## Flourish Fincap Pvt. Ltd.

Member : NSE, BSE & MCX-SX

SEBI Registration Numbers :

**NSE CM** : INB 231303034, F&O : INF 231303034 • Dated : 31-07-2008

**BSE CM** : INB 011303030, F&O : INF 011303030 • Dated : 31-12-2010

**MCX-SX** : INE 261303034 • Dated : 30-09-2008

Regd. Office : 409 & 416, Essel House, 10, Asaf Ali Road, New Delhi-110002

Ph.: 011-23233965, 23238038, 23238251, Fax : 011-23238344

E-mail : flourishfincap@yahoo.com

Website : www.flourishfincap.com



**ACKNOWLEDGEMENT**

To,

**Flourish Fincap Pvt. Ltd.**

Dated : .....

Regd. Office : 409 & 416, Essel House, 10 Asaf Ali Road, New Delhi-110002


Dear Sir,

I/We hereby acknowledge the receipt of Right and Obligations, Risk Disclosure Document and Guidance Note with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

..... Trading Code.....

UCC..... My Email Id.....

 \_\_\_\_\_  
(Signature of Client)