Form No._____

FAIR INTERMEDIATE INVESTMENT PVT. LTD.

SEBI/FMC REGISTRATION NUMBER: INZ000185032 (NSE, BSE, MCX)
SEBI/FMC REGISTRATION NUMBER: IN-DP-CDSL-81-2015 (CDSL)

Corporate Member:

National Stock Exchange of India Ltd (NSE)
Bombay Stock Exchange Ltd (BSE)
Central Depository Services India Ltd (CDSL)
Multi Commodity Exchange of India Limited (MCX)

Receipt by Branch: _____ Date When forwarded by Branch: _____

Date when received at H.O.: _____ H.O. Inward No. _____

Group: _____ Location: _____

Date of Activation: _____

Name of Applicant: _____

Trading Code: _____ Demat A/c. No. 12039800 _____

Account Type Options: ☐ Open Trading A/c ☐ Only DP Account ☐ Both Combined

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CLIENT REGISTRATION FORM – EQUITY, COMODITY & DP-CDSL

========INDIVIDUAL / HUF / PARTENER SHIP FIRM / CORPORATE / FIRM / NRI=========

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS & ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

Regd. Office: 2nd Floor, Shukla Palace, Sapru Marg, Lucknow – 226 001
Telephone: 0522-4052800, 4052803, 4052806, 4052813, 4052823, 4052826
Visit us at: www.fairinvest.co.in, E-mail us on: helpdesk@fairinvest.co.in
For any type of grievances kindly E-mail us on: compliance@fairinvest.co.in

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ATTENTION

Declaration pursuant to Multi Commodity Exchange Limited (MCX) Circular bearing No.MCX/COMP/469/2011 dated 22nd December,2011

CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED

Constituents are requested to make payments to "FAIR INTERMEDIATE INVESTMENT PVT LTD." by cheques / Account transfers.

In case Demand Drafts / Pay-Orders, constituent to substantiate that the same is drawn favoring Fair Intermediate Investment Pvt. Ltd. with his / her / their permission and knowledge.

If the aggregate value of prefunded instrument i.e. Demand Draft / Pay order / Bankers cheque etc. is above Rs.50,000/- then the client needs to submit as follow :

(1) Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank.

(2) Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument.

(3) Certified copy of the passbook / bank statement for the account debited to issue the instrument.

(4) Authentication of the bank account number debited and name of the account holder of the issuing bank on the reverse of the instrument.

MARGIN DEPOSIT, IF ANY, BY CONSTITUENT ALONGSIDE SIGNING UP OF KYC		
Cheque details:	**Chq. No.**_____ **Dated:-**_____**Amount**_____ **Bank** _____	
Collateral details:	**1.**	
	2.	

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TO BE FILLED BY INTERMEDIARY / EMPLOYEE

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 'Rignts 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 avaliable on my/our website, if any, for the information of the clients.

INTRODUCER DETAILS

Name of Introducer: _____

Status of the Introducer:

☐ R.M. ☐ Staff ☐ Athorized Person ☐ Existing Client ☐ Others: (Please Specify Others)

Address of the Introducer: _____

_____

Employee Code:		Employee E-mail :	
Mobile No.:		Phone (With STD Code)	

Signature of the Introducer:_____

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REGISTERED & CORPORATE OFFICE ADDRESS

Fair Intermediate Investment Private Limited
2nd Floor, Shukla Palace, Sapru Marg, Lucknow-226001
Tel No: 0522- 4052800, 4052802, 4052803, 4052806 , 4052824

CORPORATE MEMBER

NSE (NATIONAL STOCK EXCHANGE OF INDIA LTD.) **Member ID : 12098**

	SEBI/FMC Registration No.	*Registration Date*
Cash Segment	: **INZ000185032**	13/08/2004
Future & Option Segment	: **INZ000185032**	14/10/2004
Currency Derivative Segment	: **INZ000185032**	28/08/2008

BSE (BOMBAY STOCK EXCHANGE LTD.) **Member ID : 3131**

	SEBI/FMC Registration No.	*Registration Date*
Cash Segment	: **INZ000185032**	29/03/2006
Future & Option Segment	: **INZ000185032**	22/02/2008
Currency Derivative Segment	: **INZ000185032**	20/03/2015

CDSL (CENTRAL DEPOSITORY SERVICES LTD.) **DP ID : 39800**

Registration No. : IN-DP-CDSL-81-2015
Registration Date : 02/06/2015

MCX (Multi Commodity Exchange of India Limited) **Member ID : 57540**

	SEBI/FMC Registration No.	*Registration Date*
Commodity Future & Option Segment :	**INZ000185032**	14/10/2025

GRIEVANCE / OTHER ISSUES & COMPLAINTS

For any grievance/dispute please contact **FAIR INTERMEDIATE INVESTMENT PVT. LTD.** at our email id- **helpdesk@fairinvest.co.in** & phone no. **0522-4052813**. In case not satisfied with the response, please contact the concerned exchanges (NSE) **ignse@nse.co.in** Contact No.022-26598100 Toll Free No.**18002660050 (Option-5)** (BSE) **is@bseindia.com** / **iscdelhi@bseindia.com** Contact No. **022-22728097** & Depository (CDSL) **complaints@cdslindia.com** Contact No. **022-22723333**. Toll Free No.18002005533. (**MCX**) **grievance@mcxindia.com** **Contact No.022-67318888** you can also lodge your grievances with SEBI/FMC **http://scores.gov.in** . for any queries, feedback or assistance, please contact SEBI/FMC Office on Toll Free Helpline at 1800227575 & 18002667575

COMPLIANCE OFFICER DETAILS

Name:Mrs. Mansi Nagrath
Tel No. : 0522-4052806, Email ID: compliance@fairinvest.co.in

MANAGING DIRECTOR/CEO DETAILS

Name: Mr. Mahesh Mittal
Tel No.: 0522-4052855, Email ID: compliance@fairinvest.co.in

IN PERSON VERIFICATION

Employee (Name & Code)	
Employee Designation	
Date Of Meeting With The Client	
Place Of Meeting With The Client	
How Does Employee Know The Client Or Get Reference Of The Client	
Employee Signature	

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

(For Individuals /Sole Prop. Firm/Partnership Firm/AOP/HUF)

A. IMPORTANT POINTS:

1. Self-attested copy of PAN card & Aadhaar 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
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 Up-to 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. ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI , POA, AS MENTIONED BELOW:

Types Of Entity	Documentary Requirements
Corporate	• 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/FMC • 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	• 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	• 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	• 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	• 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/Financial Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorized signatories list with specimen signatures
Foreign Institutional Investor(FII)	• Copy of SEBI/FMC registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	• 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

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
		MANDATORY DOCUMENTS as prescriber by Exchanges & SEBI/FMC	
01.	KYC Form	A. KYC form-Document captures the basic information about the constituent and an instruction/checklist B. Document captures the additional information for Trading in Commodity Exchange	1-9
02.	Know Your Client (KYC) Application Form-For Non-Individual	This Document capture the basic information about the client for Trading & Demat Account respectively	10-12
03.	Rights and Obligations	Document stating the Rights & Obligations of broker/trading member, Authorized Person and client for trading on exchanges including additional right & obligation in case of internet/wireless technology based trading.	Part B
04.	Risk Disclosure Document (ROD)	Document detailing Risks associated with dealing in the security/commodity market.	Part-B
05.	Guidance note	Document detailing do's and don'ts for trading on exchanges, for the education of the investors.	Part-B
06.	Policy & Procedures	Document describing significant Policy & procedures of the member	35-36
07.	Additional Details for Opening Commodity Trading Account	This Document captures the additional information about the client relevant for opening commodity Trading Account	13-14
08.	Nominee Details	Nomination format for trading account & Declaration opting out nomination	15-16
09.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodities exchange	17
10.	Demat Account Opening Form & Tariff Sheet	This document captures the additional information about Demat Account DP Tariff Sheet	18
11.	Other account related details	Additional information about the client (bank details, DP details, Segment for trade, income range & additional details)	19
12.	Demat Account Opening Form for individual & Non-Individual	This Document capture the basic information about the client for Demat Account	20-23
		VOLUNTARY DOCUMENTS	
13.	ECN Declaration	Where the client authorized TM to send all document in digital mode like contact note, bill, Ledger Statement, DP Statement & Notices etc.	24
14.	Mandate for maintaining the account of running account basis	This Document enables you to maintain your account on a running account basis.	25
15.	Authorization & Declaration	Authorization for verbal order acceptance & open interest position declaration by client	26
16.	Letter of Authority to Trade	Where the client wishes to authorize other person to operate his account	27
17.	Consent to Receive SMS Alerts	Consent form for registration & verification of mobile number and email address for receiving trade alerts through SMS and / or E-mail	28
18.	Declaration by client	Declaration by client rules, bye laws & defaulter & disclosure information pro- trading account	29
19.	MITC & Aadhaar sharing	Most important terms & conditions & Consent for sharing Aadhaar details with KRA agency	30
20.	Categorization	Declaration of the client categorization & consent for trading in commodity option contact	31-32
21.	Declaration & Authorization	Open interest declaration & authorisation to pledge/re-pledge CM and CC	33
22.	Declaration Exposure & Open Interest	Currency Exposure & Commodity Open Interest Declaration	34
23.	Terms & Conditions	Additional terms and conditions	37
24.	Authorization Letter	letter of authorisation for trade in NSE,BSE,MCX Equity & Derivative	38
25.	Authorization for Contract Notes	Authorisation for contract notes and other documents in digital mode	39
26.	Fit & Proper Person Declaration	Declaration by client for fit and proper person	40
27.	Fatca & CRS, Suitability Assessment DECLARATION	FATCA & CRS, Suitability Assessment DECLARATION FOR INDIVIDUAL & NON-INDIVIDUAL	41-44

FIIPL Know Your Customer (KYC) Application Form (OnlyFor Individuals)

Please fill in ENGLISH and BLOCK LETTERS with black ink
(Field marked * are mandatory)

KYC Number of Applicant: ☐ **New KYC** ☐ **Modification KYC**

KYC Mode*: Please Tick ☐ **Normal** ☐ **EKYC OTP** ☐ **EKYC Biometric** ☐ **Online KYC** ☐ **Offline KYC** ☐ **Digi locker**

A. IDENTITY DETAIL

1.	**Name of the Applicant (as per Income Tax Record**				**PHOTOGRAPH Please affix your recent passport size photograph and sign across**
	Name of Father/Spouse				
	Mother Name				
2.	**A. Gender:** ☐ Male ☐ Female ☐ Transgender	**B. Marital Status** ☐ Single ☐ Married ☐ Others.....	**C. DOB** D D M M Y Y y y		
3.	**A. Nationality / Citizenship**	☐ **Indian** ☐ **Other** _____	**B. Status**	☐ **Resident Individual** ☐ **Non-Resident Individual** ☐ **Foreign National** ☐ **Person of Indian Origin**	
4.	**PAN No.**		**Please enclosed a duly attested copy of your PAN Card**		
5.	**UID/Aadhaar**	X X X X X X X x			
6.	**Specify the proof of Identity Submitted**	☐ **Passport** ☐ **Driving Licence** ☐ **Voter Card** ☐ **Others**			

B. ADDRESS DETAILS

1.	**Correspondence Address***				
		City/Town/Village*		**Pin Code***	
		State*		**Country***	
2.	**Proof of Correspondence Address**				
3.	**Contact details**	**Telephone(Office)**		**Telephone(Res.)**	
	Mobile No.*			**Fax. No.**	
	Mobile given by me belongs to	☐ **Me** ☐ **Spouse** ☐ **Dependent children** ☐ **Dependent Parent**			
	Email ID (In Capital Letters Only)*				
	Email Id given by me belongs to	☐ **Me** ☐ **Spouse** ☐ **Dependent children** ☐ **Dependent Parent**			
	No E-mail/Mobile Declaration	I hereby declare that I do not have any Email Id/Mobile No. ☐			
4.	**Permanent Address (if differ from above)**				
		City/Town/Village		**Pin Code**	
		State		**Country**	
5.	**Proof of Permanent Address**	☐ **Passport** ☐ **Driving Licence** ☐ **Voter Card** ☐ **Others**			

Place: **Date : __/__/_____**	**Signatures of Applicant** ⇨	**Sign**

C.	Fatca & CRS Detail	Nationality/Tax Residency/Citizen ship Other than India	No ☐ Yes ☐

Country of Birth		**Place/City of Birth**	
Country of Birth		**Place/City of Birth**	
Country of Citizenship /Nationality		**Country of Tax Residency (Other Than India)**	
Tax Payer Identification Number (Other than India)			

2.	**Occupation**(Please Tick any one)	☐ Private Sector Service ☐ Public Sector ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Government Service ☐ Others(Please specify)_____
3.	**Please tick, if Applicable**	☐ **Politically Exposed Person** ☐ **Related to a Political Person**

DECLARATION

Declaration: I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI/FMC, KRA, CKYC and other Institutions / Intermediaries with whom I have a business relationship for KYC purposes only.

Place: **Date : __/__/_____**	**Signatures of Applicant** ⇨	**Sign**

FOR OFFICE USE ONLY

☐ **(Original Verified)Self Certified Documents Copies Received** ☐ **(Attested) True copies of Documents Received** **Intermediary Name Or Code:-** _____ _____ _____	**IPV Done** ☐ **on** ☐☐/☐☐/☐☐☐☐ **Name:**_____ **Designation:**_____ **Seal/Stamp of the Intermediary**

FIIPL 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.

KYC Number of Applicant: ☐ **New KYC** ☐ **Modification KYC**

KYC Mode*: Please Tick ☐ **Normal** ☐ **EKYC OTP** ☐ **EKYC Biometric** ☐ **Online KYC** ☐ **Offline KYC** ☐ **Digi locker**

A. IDENTITY DETAIL

1.	**Name of the Applicant (as per Income Tax Record**				**PHOTOGRAPH Please affix your recent passport size photograph and sign across**
	Name of Father/Spouse				
	Mother Name				
2.	**A. Gender:** ☐ Male ☐ Female ☐ Transgender	**A. Marital Status** B. ☐ Single ☐ Married C. ☐ Others.....	**C. DOB** D D M M Y Y y y		
3.	**A. Nationality / Citizenship**	☐ **Indian** ☐ **Other** _____	**B. Status**	☐ **Resident Individual** ☐ **Non-Resident Individual** ☐ **Foreign National** ☐ **Person of Indian Origin**	
4.	**PAN No.**		**Please enclosed a duly attested copy of your PAN Card**		
5.	**UID/Aadhaar**	X X X X X X X x			
6.	**Specify the proof of Identity Submitted**	☐ **Passport** ☐ **Driving Licence** ☐ **Voter Card** ☐ **Others**			

B. ADDRESS DETAILS

1.	**Correspondence Address***				
		City/Town/Village*		**Pin Code***	
		State*		**Country***	
2.	**Proof of Correspondence Address**				
3.	**Contact details**	**Telephone(Office)**		**Telephone(Res.)**	
	Mobile No.*			**Fax. No.**	
	Mobile given by me belongs to	☐ **Me** ☐ **Spouse** ☐ **Dependent children** ☐ **Dependent Parent**			
	Email ID (In Capital Letters Only)*				
	Email Id given by me belongs to	☐ **Me** ☐ **Spouse** ☐ **Dependent children** ☐ **Dependent Parent**			
	No E-mail/Mobile Declaration	I hereby declare that I do not have any Email Id/Mobile No. ☐			
4.	**Permanent Address (if differ from above)**				
		City/Town/Village		**Pin Code**	
		State		**Country**	
5.	**Proof of Permanent Address**	☐ **Passport** ☐ **Driving Licence** ☐ **Voter Card** ☐ **Others**			

Place: **Date : __/__/_____**	**Signatures of Applicant** ⇨	**Sign**

C.	Fatca & CRS Detail	Nationality/Tax Residency/Citizen ship Other than India	No ☐ Yes ☐

Country of Birth		**Place/City of Birth**	
Country of Birth		**Place/City of Birth**	
Country of Citizenship /Nationality		**Country of Tax Residency (Other Than India)**	
Tax Payer Identification Number (Other than India)			

2.	**Occupation**(Please Tick any one)	☐ Private Sector Service ☐ Public Sector ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Government Service ☐ Others(Please specify)_____
3.	**Please tick, if Applicable**	☐ **Politically Exposed Person** ☐ **Related to a Political Person**

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 am aware to other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA Agencies only for the specific purpose validating / maintaining / sharing my KYC record and as audit evidence. I will have option to request for deleting of my Aadhaar record.

I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/e-mail address. I am also aware that for Aadhaar OVD based KYC, My KYC request shall be validated against Aadhaar details. I hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/Digi Locker XML file, along with pass code and as applicable, with SEBI/FMC, KRA, C-KYC and other Intermediaries with whom I have a business relationship for KYC purposes only.

Place: **Date : __/__/_____**	**Signatures of Applicant** ⇨	**Sign**

FOR OFFICE USE ONLY

☐ **(Original Verified)Self Certified Documents Copies Received** ☐ **(Attested) True copies of Documents Received** **Intermediary Name Or Code:-** _____ _____ _____	**IPV Done** ☐ **on** ☐☐/☐☐/☐☐☐☐ **Name:**_____ **Designation:**_____ **Seal/Stamp of the Intermediary**

FIIPL **KYC-Application Form(For Non-Individuals Only)**

Please fill in ENGLISH and BLOCK LETTERS with black ink

A. IDENTITY DETAIL

1	**Name of the Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).				
2	**Date of Incorporation**		**Place of Incorporation**		
3	**Business Commencement Date**		**Registration No. (e.g. CIN)**		
4	**PAN No.**		**Please enclosed a duly attested copy of your PAN Card**		
5	**Status (Please Tick any one)**	☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ LLP	☐ HUF ☐ Trust/Charities/NGOs ☐ Defense establishment ☐ FII ☐ Society	☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organisation ☐ Others ……	☐ FI

B. ADDRESS DETAILS

1	**Correspondence Address**				
		City/Town/Village		**Pin Code**	
		State		**Country**	
2	**Correspondence Address Submitted**				
3	**Contact details**	**Telephone(Office)**		**Telephone(Res.)**	
		Mobile No.		**Fax. No.**	
		Email ID			
4	**Registered Address (if differ from above)**				
		City/Town/Village		**Pin Code**	
		State		**Country**	
5	**Proof of address to be provided by Applicant, Please submit ANY One of the following valid documents & Tick ( ) against the document attached.**	☐ Latest Telephone Bill(only Land Line) ☐ Latest Electricity Bill ☐ Latest Bank Account Statement ☐ Registered Lease / Sale Agreement of Office Premises ☐ Any Other proof of address document (as listed overleaf)			

C.OTHER DETAILS

1. **Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors**: _____(Please use the Annexure to fill in the details)
2. **a) DIN of whole time directors:** _____
   b) Aadhaar number of Promoters/Partners/Karta:_____

DECLARATION

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI/FMC, KRA, CKYC and other Institutions / Intermediaries with whom I have a business relationship for KYC purposes only.

Place : **Date :__/__/_____**	**Name & Signatures(s) of Authorised Person(s)** ⇨	**Sign**

FOR OFFICE USE ONLY

☐ **(Original Verified)Self Certified Documents Copies Received** ☐ **(Attested) True copies of Documents Received**	**IPV Done** ☐ **on** ☐☐/☐☐/☐☐☐☐ **Name:**_____ **Designation:**_____ **Seal/Stamp of the Intermediary**

FIIPL Name,PAN,Residential Address and Photographs of Promoters/Karta/Trustees and whole time Directors/Other Directors:

1. NAME			PAN No.			Photographs of Promoters/Partners/Karta /Trustees / Wholetime/Other Directors & authorized signatories
Date of Birth			Status			
Residential Address						
DIN		UID		DPIN		

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:
☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

2. NAME			PAN No.			Photographs of Promoters/Partners/Karta /Trustees / Whole time/Other Directors & authorized signatories
Date of Birth			Status			
Residential Address						
DIN		UID		DPIN		

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

3. NAME			PAN No.			Photographs of Promoters/Partners/Karta /Trustees / Whole time/Other Directors & authorized signatories
Date of Birth			Status			
Residential Address						
DIN		UID		DPIN		

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

4. NAME			PAN No.			Photographs of Promoters/Partners/Karta /Trustees / Whole time/Other Directors & authorized signatories
Date of Birth			Status			
Residential Address						
DIN		UID		DPIN		

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

5. NAME			PAN No.			Photographs of Promoters/Partners/Karta /Trustees / Whole time/Other Directors & authorized signatories
Date of Birth			Status			
Residential Address						
DIN		UID		DPIN		

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Whole time/Other Directors:
☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)
☐ Not Related to a Politically Exposed Person (PEP)

Place : **Date :__/__/_____**	**Name & Signatures(s) of Authorised Person(s)** ⇨	**Sign**

FIIPL ADDITIO AL DETAILS ONLY FOR (NON-INDIV IDIVIDUALS)

FOR OPENING A DEMAT & TRADING ACCOUNT

Application No.		Client Code Issued		DATE	

I/We request you to open a DEMAT/Trading Account in my/our name as per following details:
(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. TYPE OF ACCOUNT (Please tick whichever is applicable)

☐ Body Corporate ☐ FI ☐ FII ☐ Mutual Fund ☐ Qualified Foreign Investor
☐ Trust ☐ Bank ☐ CM ☐ Others (Specify).....

B.For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Person of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Residence Address			
Date of Incorporation			
DIN/UID No.			

C.	In Case of FIIs/Others (as may be applicable)		
RBI Approval Reference Number		RBI Approval Date	
SEBI/FMC Registration Number (For FIIs)			

E. STANDING INSTRUCTIIONS

1.	**Account to be operated through Power of Attorney (POA)/Demat Debit & Pledge Instruction (DDPI)**		☐ YES ☐ NO
2.	**SMS Alert Facility:**		☐ YES ☐ NO
	Sr. No.	**Holder**	☐ YES ☐ NO
	1.	**Sole / First Holder**	☐ YES ☐ NO
	2.	**Second Holder**	☐ YES ☐ NO
	3.	**Third Holder**	☐ YES ☐ NO
3.	**Mode of Operation:-** ☐ **Any One singly** ☐ **Jointly by** ☐ **As per resolution** ☐ **Other (Please Specify) ……..**		

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 tariff sheet and all voluntary/non-mandatory documents.*
3. *I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Don'ts'. 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 Member's designated website. i.e.* **www.fairinvest.co.in**

Authorized Signatories (Enclose a Board Resolution for Authorized Signatories)

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name Designation			
Signature ⇨	**Sign** ☐	**Sign** ☐	**Sign** ☐
PHOTOGRAPH	Affixrecent passport sizephotograph	Affixrecent passport size photograph	Affixrecent passport size photograph

FIIPL

OTHER DETAILS TO OPEN DEMAT & TRADING ACCOUNT FOR BOTH (INDIVIDUALS & NON-INDIVIDUALS)

C. OTHER DETAILS

Gross Annual Income details (please specify):					
Income Range per annum:	☐ Below` 1Lac	☐ ` 1-5Lac	☐ ` 5-10Lac	☐ `10-25 Lac	☐ >`25 Lacs
Net-worth as on (date)		(Net worth should not be older than 1 year)			
Occupation (please tick any one and give brief details):	☐ Private Sector	☐ Public Sector	☐ Government Service	☐ Business	
	☐ Professional	☐ Farmer	☐ Others (Specify)		
Please tick, as applicable (For Individuals Only)	☐ Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (PEP)	☐ Related to a Politically Exposed Person (PEP) ☐ Not Related to Politically Exposed Person (PEP)			

D. BANK ACCOUNT(S) DETAILS

BANK NAME	
BRANCH ADDRESS	
BANK ACCOUNT NO.	
ACCOUNT TYPE	☐ saving ☐ Current ☐ Others
MICR NUMBER	
IFSC CODE	

Provide a copy of cancelled cheque leaf/ pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank.

E. DEPOSITORY ACCOUNT(S) DETAILS

DEPOSITORY PARTICIPANT NAME	
DEPOSITORY NAME (NSDL/CDSL)	
BENEFICIARY NAME	
DP ID	
BENEFICIARY ID (BO ID)	

Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

F. PURPOSE OF TRADING

☐ HEDGING	☐ INVESTMENT	☐ OTHERS (SPECIFY).....

G. INVESTMENT/TRADING EXPERIENCE

☐ NO Prior Experience	☐ _____Years in Commodities	☐ ____Years in other investment related fields

H. SALES TAX REGISTRATION DETAILS

Local Sales Tax State Registration No.		Validity Date:	
Name of the State			
Central Sales Tax: Registration No		Validity Date	
Name of the State			
Other Sales Tax: Registration No		Validity Date	
Name of the State			

I. GST DETAILS (AS APPLICABLE, STATE WISE)

Legal Name			
Trade Name			
GSTIN		Registration Date	
Name of the State		State Code	
Other State GSTIN		Registration Date	
Name of the State		State Code	

J. PAST REGULATORY ACTIONS
☐ details of any action/proceedings initiated/pending/ taken by FMC/ SEBI/FMC / Stock Exchange / Commodity Exchange / any other authority against the client dealing in commodities during the last 3 years:_____

k. DEALINGS THROUGH AUTHORIZED PERSONS AND OTHER MEMBERS :					
If client is dealing through the Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :					
Member's / AP's Name:					
Exchange:					
Exchange's Registration number:					
Concerned member's Name with whom the AP is registered:					
Registered office address:					
Ph. No		Fax No.		Mobile No.	
Email ID				Website	
Client Code					
Details of disputes/dues pending from/to such member/AP:					

L. ADDITIONAL DETAILS .	
➢ Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	☐ Electronically ☐ Physically
➢ If ECN has been selected, provide your Email ID	
➢ If you wish to receive Electronic Contract Note (ECN), an 'ECN declaration form' via email would need to be provided as per the format and procedure given at Appendix A.	
➢ The ECN declaration form should normally be in English. In case you are not conversant with the English language, the ECN form should be bi-lingual i.e., in English and the local language known to you.	
➢ You can revoke the ECN facility and opt for the contract note in the physical form only by giving 7 working days' notice to the member and copy of the same would be retained by you.	
➢ Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):	☐ Yes ☐ No
➢ Any other information	

TRADING PREFERENCES

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

Name of the Exchange	NSE,BSE		
ALL SEGMENT	☐ Cash ☐ F & O	☞ ☞	Date of Consent for trading on concerned Exchange
Currency ☞	MCX (Commodity Derivatives)	☞	

If you do not wish to trade in any of Segments / Mutual Fund, please mention here _____

 # If, In Future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by Commodity/Stock broker.

FIIPL

Nomination Form for Demat &Trading Accounts
(Only for Individuals Account)

CDSL Your Depository ISO 27001 Certified

Date		UCC Code		DP ID:- 12039800	Client ID	00

I/We **wish to make a Nomination.** *[As per details given below]*

NOMINATION DETAILS

I/We wish to make a Nomination and do hereby nominate the following person(s) who shall receive all Fund & Securities held in the Depository by me/us in the said Trading and Beneficiary owner account in the event of my / our death.

Nomination can be made up to three nominees in the account			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)				
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3.	Relationship with the Applicant (if any)				
4.	Address of Nominee(s) City / Place State / Country				
		PIN Code			
5.	Mobile/Telephone No. of Nominee(s)				
6.	Email ID of nominee(s)				
7.	**Nominee Identification details - [Please tick any one of following and provide details of same]** ☐ **Photograph& Signature** ☐ **PAN** ☐ **AADHAAR** ☐ **Saving Bank A/c No.** ☐ **Proof of Identity** ☐ **Demat Account ID**				

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :					
8.	Date of Birth {in case of minor nominee(s)}				
9.	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}				
10.	Address of Guardian(s) City / Place State / Country				
		PIN Code			
11.	Mobile/Telephone No. of Guardian				
12.	Email ID of nominee(s)				

13.	Relationship of Guardian with nominee			
14.	Guardian Identification details - [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ AADHAAR ☐ Saving Bank A/c No. ☐ Proof of Identity ☐ Demat Account ID			

Sole / First Holder / Guardian (in case of Minor)		**Second Holder**	**Third Holder**
Name			
Signature			

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

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

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

	First Witness	**Second Witness**	**Third Witness**
Name of witness			
Address of witness			
Signature of witness	**Sign** ☐	**Sign** ☐	**Sign** ☐

Notes: 1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly of jointly. Non-individuals including society, trust, body corporate and partnership firm, Karta of HUF, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.

2. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.

3. The Nominee(s) shall not be a trust, society, body corporate, and partnership firm, Karta of HUF or a POA holder. A non-resident Indian can be a Nominee, subject to the exchange/depository controls in force, from time to time.

4. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominee as mentioned at The time of substitution will be considered. Therefore, please mention the complete details of all the nominees.

FIIPL

Declaration form for opting out of Nomination (Annexure-B)

Date		**UCC Code**		**DP ID:- 12039800**	**Client ID**	**00**

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

Sole / First Holder / Guardian (in case of Minor)		**Second Holder**	**Third Holder**
Name			
Signature			

FIIPL **TARIFF SHEET-BROKERAGE STRUCTURE EQUITY, CURRENCY & COMMODITY**

GENERAL BROKERAGE RATE

	Percentage	Minimum	**Brokerage Slab**	Percentage	Minimum
Equity Delivery		_____Per Share	Equity Intraday		_____Per Share
Equity Option		Rs._____Per Lot	Equity Future		_____Per Share
Commodity Delivery	0.30	----------			
Commodity Options		Rs._____Per Lot	Commodity Futures		_____Per Share
Currency Options		Rs._____Per Lot	Currency Futures		_____Per Share

SPECIAL BROKERAGE RATE

	Equity,Currency,Derivative Segment		**Options Segment**	
Brokerage Slab	Percentage	Minimum	Percentage	Minimum
Delivery /Carry Forward				
Intraday/Square Off				
Options Segment Per Lot				

Important Note: In case of Physical Contract notes or other related documents being dispatched to client, a difference of Rs.25/- +GST in total brokerage booked on a particular contract would be charged to ward minimum processing fee. Delay payment charges @2% per month would be charged for debit/shortage in pay-in/ margin default, as per exchange requirements. Depository/Pledge charges for the movement of shares between pool/beneficiary/margin accounts for pay-in / payout or margin purpose will be charged. Transaction charges/ Clearing Charges, Stamp duty, SEBI/FMC fee, and Risk Management fee and other statutory charges/ courier/ administration/ processing charges will be charged as applicable. Handling charges for issue of account statement, copy of contract note etc. will be charged as applicable. One time processing fee Rs.50/- per segment and DDPI Stamp charges Rs.I00/-shall be charged. FIIPL reserves the rights to change the Brokerage as well as other tariff from time to time under intimation to client.

Remarks	1. GST @18% will be charge on above mention charges. 2. On customer request or to fulfil regulatory compliances if we need to dispatch physical documents, courier charge of Rs.25/- will be charged. 3. KRA charges will be charged in advance at the time of opening the account 4. All customers will get Digital Contact Notes, Physical Contact Notes on request. 5. The penalty and charges shall be as per rates of FIIPL. The above brokerage and charges are subject to change without prior notice

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 trading member, tariff sheet and all voluntary/non-mandatory documents.

3. I/We further confirm having read and understood the contents of the Rights and Obligations', Policies & Procedures document(s) and 'Risk Disclosure Document', "Do's and Dont's", MITC. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we have read, understood, agreed and received a duly executed copy of the:- • Account Opening Form, Trading Account Related Details and Tariff Sheet • Other disclosure/documents as agreed by me/us specifically in voluntary segment. • Terms & Conditions as mutually agreed by me/us • FATCA & CRS Terms & Conditions • Option Consent Letter • Other disclosure/documents as agreed by me/us specifically in voluntary segment. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.

4. I also give my consent to download my KYC Records from the Central KYC Registry (CKYCR) /KYC Registration Agency (KRA), only for the purpose of verification of my Identity and address from the data base of CKYCR Registry/ KRA. I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of brith, PAN number etc.

I hereby declare that I have read and understood the terms and conditions governing Fair Intermediate Investment Pvt. Ltd. Formerly Know as FIIPL as per Brokerage plan mention herewith. I do hereby wish to avail the brokerage plan as selected by me.

Sole / First Holder / Guardian (in case of Minor)		**Second Holder**	**Third Holder**
Name			
Signature			

FIIPL

SCHEDULE OF CHARGES FOR DEMAT ACCOUNT

(Tariff effective from 01 Jan 2019)

☐ Regular Scheme		☐ One Time Scheme	☐ Life Time Scheme	☐ Basic Service Demat Account (BSDA) for Individual Only*	
Account Maintenance Cycle (Four Quarter (1 Year)		Account Maintenance Cycle Life time	Account Maintenance Cycle Twenty Quarter (5 Year)	Upto 4 lakhs	Nil
Individual	**Corporate**	**Only for Individual**		More than 4 lakhs but up to 10 lakhs	Rs.100-/
Rs.300/- for first Quarter remaining three Quarters FREE	Rs.900/-for first Quarter remaining three Quarters FREE	Rs.1800/- One time	Rs.900/-for first Quarter remaining Quarters FREE	More than 10 lakhs	Regular Scheme

TRANSACTION CHARGES

Delivery	**Market Transaction**	Rs.20/- per instruction
	Off Market Transaction	Rs.25/- per instruction Non-POA all Trade plus Off Market Outside FIIPL Rs.30/- per instruction
Pledge Creation/Closure/Invocation		Rs.25/- per instruction
Margin Pledge creation/closure/invocation		Rs.25/- per instruction
Demat Charges		Rs.70/- per request
Ramat Charges		Rs.70/- per request
Other Charge		Demat Rejection/Modification Rs.40/- per instance
Instruction Booklet		Rs.25/- per book plus courier charges

***AMC on the basis of Value of Holding in the Demat Account (Debt as well as other then debt securities combined)**

Notes:

1. The Depository Participant shall reserve the right to revise the charges by giving not less that 30days notice in writing to the client.
2. Value of Transaction will be in accordance with the Depository formulae.
3. Modification in client detail, 40/- per instance. Maintenance charges will be charged in advance at the time of opening the account.
4. Rejection charges 40/- per rejection plus courier charges.
5. Off Market Instruction not received prior to 24hours of execution will be received at clients risk.
6. Periodic statement free on Email and Rs 25/- toward courier charges if sent physically.
7. Non-periodic statement shall be charged @5/-per page and postage/courier charge @25/- or actual charges whichever is higher.
8. In case of non-payment of bill/dues within 30 days of due date, interest shall be charged @1.0%per month on the outstanding dues.
9. Rs 25/- will be charged to client in case of New Delivery Instruction Booklet in requested without requisition slip.
10. All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time.
11. I/We understand that in case , I/We at any point of time do not meet the eligibility criteria as a BSDA holder , my/our demat account is liable to be converted to regular scheme.
12. Any service not listed above will be charged extra.

I/We have understood and accepted the Schedule of charges as stated here in above.

	Sole/First Holder	**Second Holder**	**Third Holder**
Signature			

FIIPL

ADDITIONAL DETAISL FOR TRADING & DEMAT ACCOUNT RELATED DETAILS

For both Individual & Non-Individuals .

A. ADDITIONAL BANK ACCOUNT DETAILS

Bank Name	Branch Address	Bank Account No.	Account Type: Saving / Current / Others In case of NRI/NRE/NRO
MICR No.		ISFC Code	

B. ADDITIONAL DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name						
Depository Name	CDSL	NSDL	DP ID		BO ID	
Beneficiary name						

Unique Client Code (UCC)	Exchange ID	Segment ID	CM ID	TM ID

Whether you wish to receive physical contract note or ECN (please specify)	☐ Physical ☐ Electronic
Specify your Email Id, if applicable	
Whether you wish to avail of the facility of Internet trading/ Wireless technology (please specify)	☐ Yes ☐ No
I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly/Weekly statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/Out Email id has been created by me/us and not by someone else. I/We am/are aware that non-receipt of bounce mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID. ☐Yes ☐ No	
Whether you wish to receive your executed KYC ☐ Electronically ☐ Physically	
Is the entiry involved/providing any of the following services	☐ YES ☐ NO
For Foreign Exchange/Money Changer Services	☐ YES ☐ NO
Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicated)	☐ YES ☐ NO
Money Lending / Pawning	☐ YES ☐ NO

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 & Obligations' document(s)/ *Policy and Procedures', tariff sheet and all the non-mandatory documents* . 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.

Form need to be signed by all the authorized signatories (In case of Non-Individual Clients).

I/We have understood and accepted the Schedule of charges as stated here in above:

	Sole/First Holder	Second Holder	Third holder
Signature ⇨			

FIIPL **ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (Individual & Non-Individual)**

SELECT ACCORDINGLY THE TYPE OF ACCOUNT **Form No.**_____

I/We request you to open a Demat Account in my/our name as per the following details:- (To be filled by the applicant in **BLOCK LETTERS** in English) **Please select the Account Type** ☐ **Individual** ☐ **Corporate**

DP ID	1 2 0 3 9 8 0 0	Client ID	0 0					

☐ Body Corporate ☐ FI ☐ FII ☐ HUF ☐ Mutual Fund
☐ Trust ☐ Bank ☐ CM ☐ CUSA ☐ Stock Broker ☐ Others (Specify)

Sub Type ☐ TM Client Securities Margin Pledge Account ☐ Stock Broker-Proprietary ☐ LLP CM Client
☐ Securities Margin Pledge Account ☐ Foreign Bodies ☐ Escrow
☐ TM/CM Client Securities Margin Pledge Account ☐ Unclaimed Securities ☐ Others (Specify)

SEBI/FMC Registration No. (if applicable)		SEBI/FMC Registration Date	D D M M Y Y Y Y
RBI Registration No. (if applicable)		RBI Approval Date	D D M M Y Y Y Y
ROC Registration No. (if applicable)		ROC Registration Date	D D M M Y Y Y Y
Nationality	☐ Indian ☐ Others (specify)_____		

☐ Individual Resident ☐ Minor ☐ PMS ☐ Foreign National
☐ NRI-Repatriable ☐ NRI-Non Repatriable ☐ FPI ☐ Others (Specify)_____
☐ TM Client Securities Margin Pledge Account ☐ CM/TM - Proprietary
☐ CM Client Securities Margin Pledge Account ☐ Promoter
☐ CM/TM Client Securities Margin Pledge Account ☐ Others (Specify)

B. HOLDERS DETAILS	Sole/First Holder	Second Holder	Third Holderr
Name			
PAN			
Date of Birth	— —	— —	— —
Occupation			
UCC		—	—
Exchange Name & ID		—	—
Brief Details			

Name		PAN	

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

E. STANDING INSTRUCTIONS

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] ☐ **Yes** ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end. (If not marked, the default option would be 'No')	☐ Yes ☐ **No**
Account Statement Requirement (If not marked, the default option would be as per SEBI/FMC Regulation)	☐ As per SEBI/FMC Regulation ☐ Dailly ☐ Weekly Fortnightly ☐ **Monthly**
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id given on KYC page	☐ **Yes** ☐ No
I would like to share the email ID with the RTA	☐ **Yes** ☐ No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Electronic)	☐ Physical ☐ **Electronic**
I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI/FMC from time to time]	☐ **Yes** ☐ No

For joint accounts communication to be sent to ☐ **First Holder** ☐ All Joint Account Holders

Mode of Operation for Joint Accounts (*see notes) ☐ **Jointly** ☐ Anyone of the holder or survivor (s) ☐ First Named Holder Only

If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and /or securities and / or specific number of securities will be permitted.

SMS Alert Facility Refer to Terms & Conditions given as **Annexure A**	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] / Demat Debit and Pledge Instruction (DDPI) (if POA is not granted & you do not wish to avail of this facility, cancel this option).	☐ Yes ☐ No
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	☐ Yes ☐ No

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

Guardian's Name		**PAN**	
Relationship with the applicant		**Date of birth**	

FOR NRIs/OCBs

- I/WE HEREBY DECLARE THAT I/WE HAS COMPLIED WITH, AND WILL CONTINUE TO COMPLY. FEMA REGULATIONS AND OTHER APPLICABLE LAWS

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Ownerand Depository Participant".

A.NAME	B. Designation (For Corporate)	C. Signature of Holders
Sole/First Holder	Second Holder	Third Holder
A. Name		
B. Designation		
Specimen Signature		

Notes:

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
   i. Client must ensure the confidentiality of the password of the email account.
   ii. Client must promptly inform the Participant if the email address has changed.
   iii. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. In case of joint account, on death of any of the joint account holders, the surviving account holder(s) has to inform Participant about the death of account holder (s) with required documents.
5. In case if 'first holder' is selected, the communication will be sent as per the preference mentioned at Sr. No.4. In case 'All joint account holders" is opted, communication to first holder will be sent as per the preference mentioned at Sr. No. 4 and communication to other holders will be in electronic mode. The default option will be communication to first holder', if no option selected.
6. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust body corporate and partnership firm, karta of Hindu Undivided Family holder of DDPI cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
7. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
8. The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a DDPI holder. A non-resident Indian can be a Nominee, subject to the exchange / depository controls in force, from time to time.
9. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
10. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir
11. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society karta of Hindu Undivided Family, holder of DDPI cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
12. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(S).
13. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be a settle the claims equally amongst all the nominee.
14. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
15. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
16. Savings bank account details shall only be considered if the account is maintained with the same participant.
17. DP ID and client ID shall be provided where demat details is required to be provided.
18. Strike off whichever is not applicable.

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

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

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.
I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP. I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service. I/We provide the following information for the purpose of Registration / modification (Please cancel out what is not applicable).

Mobile Number and Email ID is same as per KYC page, on which message are to be sent. The mobile Number is registered in the name as given in KYC

	Sole/First Holder	Second Holder	Third holder
Signature ⇨			

To,

FAIR INTERMEDIATE INVESTMENT PVT. LTD.

Member: MCX (Multy Commodity Exchange of India Ltd.)

Regd. Office: 2nd Floor Shukla Palace Sapru Marg Lucknow 226 001

Dear Sir,

I/We _____ a client with member **M/s. FAIRINTERMEDIATEINVESTMENTPVT.LTD.** of _____ Exchange undertakes as follows:

- I/We am/are aware that the member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself want the same in the electronic form.
- I/We am/are aware that the member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is* _____

  This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I/We am/are aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

***(The email id must be written in own handwriting of the client.)**

Client Name: _____

Unique Client Code:_____

PAN: _____

Address: _____

_____

Sign here:

Date:_____**Place:**_____**Verification of the client signature done by,**

Name of the designated officer of the Member_____**Signature**_____

FIIPL

RUNNING ACCOUNT AUTHORISATION (Voluntary)

To,
Fair Intermediate Investment Pvt. Ltd.
2nd Floor Shukla Palace Sapru Marg,
Lucknow 226 001

Dear Sir,

Authorization for maintaining Running Account

1. I / We am / are aware that as per the SEBI/FMC/ Exchange requirements, the settlement of funds is to be done within 48 hours of receiving the relevant pay out from the Exchange. I / We am/are also aware and understand that it is difficult to manage repeated payments with respect to all commodity market transactions. Also, I/we desire to use my/our commodities and funds as margin / collateral without which we cannot deal / trade.
2. Therefore, I/We hereby request and authorize you to maintain my account as a running account(s) which will entail that all funds/commodities due to us on payout shall be withheld with yourselves beyond the stipulated deadline send given to us only on demand. You shall transfer the funds lying in our credit within given Exchange prescribed time frame of my / our request.
3. I / We further authorize you to debit the funds from my / our running accounts and make pay-in of commodities /funds to Clearing Corporation /Clearing Member / Exchanges. Subject to your discretion and valuation, please treat my / our collaterals and funds lying to my/our credit in running accounts to deposit as margin / collateral whether in the form of Cash or Fixed Deposits for my / our dealings / trading.
4. I/We further authorize you to debit/credit/transfer the funds between the various commodity Exchanges/ Clearing Corporations to clear / set off / adjust my / our debit balance or various dues payable to you / Exchange(s)/ Clearing Corporations.
5. I / We acknowledge that I / We can revoke the above mentioned running account authority and authorization for placement of funds with Exchange / Clearing Corporation / Clearing member as Collateral / Margin at any time by sending a signed instruction.
6. I/we request you to settle my running fund and commodities at a gap of Not be more than 90 days or Not be more than 30 days or Except that the fund given towards collaterals/Margin in form of Bank Guarantee and /or fixed deposit Receipt/Securities.
7. I/ We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it as the case may be in writing at your registered office.
8. For the purpose of settlement of funds, the mode of transfer of funds shall be by way of electronic funds transfer viz., through National Electronic Funds Transfer (NEFT), Real Time Gross Settlement (RTGS), etc.
9. In case I / We have an open position on the settlement date, you may retain the requisite securities/funds to meet the maximum likely margin obligations for the next 5 trading, calculated in the manner specified by the SEBI/FMC/exchanges.

My / Our preference for actual settlement of funds and securities is at least:

☐ **Once in a Calendar quarter** ☐ **Once in a Calendar Month**

Thanking you,

Yours faithfully,

Sign here:

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

FIIPL

VERBAL ORDER ACEPTANCE AUTHORISATION

(VOLUNTARY)

I/We am dealing with you as client at NSE/BSE/MCX in Capital, Derivative & Currency Derivative Segment. At my/our broker i.e. agent I/We direct and authroze you to carry out trading / dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement / modification and cancellation in writing and to avoid disputes, I/We should give instruction in exactly the format in duplicate (carbon copy/p hotocopy only) and take signature of at least two authorized officers at the branch along with company stamp on the carbon copy/photoc opy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is not practical to give written instructions for order placement / modification and cancellation, I/We hereby authorize you to accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same.

I/We understand the risk associated with verbal order and accept the same, and agree that I/We shall not be entitled to disown order s and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement/modification and cancella tion or orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying our my/our directions given above.

Client Name		**Sign.**	

DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY

Dear Sir,

Subject: My / Our request for trading in commodity forward contracts / commodity derivatives on All Exchanges as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX),, any other circulars issued by SEBI/FMC/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than **FAIR INTERMEDIATE INVESTMENT PVT. LTD.**

OR

I/We hereby declare that I/we are also trading in Commodities through **Fair Intermediate Investment Pvt. Ltd.** having **Member ID: 57540** in ☐ MCX & **Client Code**_____

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX or SEBI/FMC and such position limits will be calculated in accordance with the contents of above stated circulars of all exchanges as modified from time totime.

I/We undertake to inform you or keep you informed if any of our partners/directors/Karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/Karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here:

Name_____

FIIPL

LETTER OF AUTHORITY TO TRADE

(VOLUNTARY)

(In case of Corporate/Partnership Firm/Trust etc.)

To,

FAIR INTERMEDIATE INVESTMENT PVT. LTD. Date: _____

2ND Floor Shukla Palace Sapru Marg Lucknow 226 001

SEBI/FMC Reg.No. MCX Commodity Exchange of India Ltd.:-INZ000185032

Dear Sir,

Sub: Authority to Trade on my behalf

I/we am/are the holder of a trading account bearing number ..... (Here in after referred to as The "Account") opened and maintained with you and wish to appoint/nominate..... ..... (Here in after referred to as the "Representative"), s/d of..... aged about.....years, presently residing at ....To perform all or any of the following acts, deeds And things. for and on my/our behalf and in my/our interest.

1. To operate the Account on my/our behalf.
2. To issue necessary instructions to you, for purchase, sale or transfer of Shares/Commodities from or to the Account as per Representative own judgment and to sign necessary documents. Wherever required effectuating such instructions of purchase. Sale or transfer of Shares/Commodities from or to the Account.
3. To make or cause to make payments to Fair Intermediate Investment Pvt. Ltd. (FIIPL) whenever necessary. And in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and FIIPL.
4. To duly honour all my/our contractual obligations under various agreements executed between me/us and FIIPL including but not limited to the RIGHTS AND OBLIGATIONS OF FIIPL, AUTHORIZED PERSONS AND me/us as prescribed by SEBI/FMC, CDSL, FMC and Commodity Exchanges and/or any other undertaking, commitment issued by my/us in favour or FIIPL.
5. To accept contract notes and other documents from FIIPL on my/our behalf and report any discrepancy therein to FIIPL within the prescribed time frame.
6. To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation from FIIPL at . .....Telephone no. & undertake to update this contact detail in writing with FIIPL in the event of any Such change. Taking place at any time in future.
7. To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
   a. I/we hereby agrees and undertakes that all such acts, deeds and things done by the Representative shall be deemed to be binding Upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds. or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
   b. I/we hereby agree and undertake to indemnify and keep FIIPL including its directors. Officers and employees indemnified against any loss, claims. Liabilities, obligations. Damages. Deficiencies, actions, suits, or proceedings aroused / accrued or caused to the FIIPL for any wrong act, deed or thing done by the Representative in any manner whatsoever in exercise of the powers conferred upon him.
   c. I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
   d. I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until FIIPL received and acknowledged revocation letter at its registered office.

Name :_____

Client Code :_____

Sign here: ☞

FIIPL

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS (VOLUNTARY)

To,
The Compliance Officer
FAIR INTERMEDIATE INVESTMENT Pvt. Ltd.
2ND Floor Shukla Palace Sapru Marg Lucknow 226 001
SEBI/FMC Reg.No. MCX Commodity Exchange of India Ltd.:-INZ000185032

Dear Sir,

I/We am/are aware that Exchanges provide SMS/E-mail alerts to the constituents (clients) of its member for trades executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- Iwant to receivetransactionalerts in SMS as well as emailfrom Exchanges.
- Iwantto receivetransactionalertsonly in SMSfrom Exchanges.
- Iwant to receivetransactionalertsonly in Emailfrom Exchanges.
- I do notwant to receiveanytransactionalerts from Exchanges, specifyreason

The alerts should be sent on:

Mobile number (enter 10 digit mobile no.) | | | | | | | | | | |

E-mail ID.....

I/We agree to the terms and conditions specified by the Exchanges in its circulars as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Name of the Client.....

Sign here:

FIIPL

DECLARATION FOR MOBILE NUMBER (VOLUNTARY)

I/we _____having Pan No. _____do hereby declare that my mobile no. is _____. Further, I authorize Fair Intermediate Investment Pvt. Ltd., the same maybe used for giving me any information/alert/sms/call.

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

Name of the Client: _____

Sign here:

Date: _____

FIIPL

DECLARATION BY THE USER

(VOLUNTARY)

I/We hereby declare that I/We am/are aware about the Rules, Byelaws, Regulations and Circulars issued there under by the Exchanges and SEBI/FMC that may in force from time to time and understand that appropriate action may be initiated by the Exchange(s) and SEBI/FMC in case of violation of the Rules, Byelaws, Regulations and Circulars issued by the Exchange(s) and SEBI/FMC. I further agree to become an approved User (Internet) of Fair Intermediate Investment Pvt. Ltd. I would intimate the Exchange on ceasing to be an Approved user of Fair Intermediate Investment Pvt. Ltd. I/We certify that I/We have not applied for any other Internet User ID for which this ID's now being applied for. I/We will not allow anybody else to access / use such Trading System using the Internet User ID so allotted to me/us.
I/Weshall keepcompletesecrecy ofthepasswordandundertake notto disclosethepassword to anyperson.

Sign here: ☞

Date: _____ Place: _____

FIIPL

CLIENT DEFAULTER DECLARATION

(VOLUNTARY)

I/we _____having PAN No. _____do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/FMC/Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc. I further declare that the above mentioned declaration/statement is true and correct.

Sign here: ☞

Client Name: _____

Client Code:_____

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

Date: _____ Place: _____

FIIPL

DISCLOSURE INFORMATION

(VOLUNTARY)

To, Dated:_____

Dear Client,

Sir/Madam,

This is to inform you that we do client based trading and Pro-account Trading in Multi Commodity Exchange of India Ltd (MCX)

Thanks & best regards, Sign here: ☞ _____

I acknowledge the receipt of the information given by Fair Intermediate Investment Pvt. Ltd. that they do client based trading and Pro-account trading.

For Fair Intermediate Investment Pvt. Ltd.

Authorised Signatory / Director

FIIPL MOST IMPORTANT TERMS & CONDITIONS (MITC) for non-custodial settled trading accounts)

(As per Circular Ref No: NSE/INSP/60147 Dated: Jan. 05, 2024, Annexure-A)

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

Consent for sharing Aadhaar Details with DEPOSITORY/SEBI/FMC/KRA Agencies .

(VOLUNTARY)

To,
FAIR INTERMEDIATE INVESTMENT PVT. LTD.
2nd Floor Shukla palace Sapru marg,
Lucknow 226 001

- I/We understand that Fair Intermediate Investment Pvt. Ltd. is in the business of providing trading services for buying/selling of securities to its clients.
- I/We am/are desirous for opening of Trading and Demat account with Globe and hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.
- I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record.
- I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI/FMC, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

Sign here: _____ **Name:**_____

MCX - Categorization of Participants in Commodities Derivatives

I/We have been/shall be dealing through you as my/ our member broker on different Commodity Exchanges in my/our trading account opened /to be opened with you. I/We hereby declare my/ our category for the commodities mentioned therein, as given below in accordance with SEBI/FMC circular no. SEBI/FMC/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019:

I/ We hereby confirm the following categories:

Various categories of market participants (Tick the appropriate Box)

Commodity	(i) Farmers /FPOs	(ii)Value Chain Participants (VCPs)	(iii)Proprietary traders	(iv) Domestic Financial Institutional Investors	(v) Foreign Participants	(vi) Others
CARDAMOM	☐	☐	☐	☐	☐	☐
CASTORSEED	☐	☐	☐	☐	☐	☐
COTTON	☐	☐	☐	☐	☐	☐
CPO	☐	☐	☐	☐	☐	☐
MENTHAOIL	☐	☐	☐	☐	☐	☐
PEPPER	☐	☐	☐	☐	☐	☐
RBDPALMOLEIN	☐	☐	☐	☐	☐	☐
GOLD	☐	☐	☐	☐	☐	☐
SILVER	☐	☐	☐	☐	☐	☐
ALUMINIUM	☐	☐	☐	☐	☐	☐
BRASS	☐	☐	☐	☐	☐	☐
COPPER	☐	☐	☐	☐	☐	☐
LEAD	☐	☐	☐	☐	☐	☐
NICKEL	☐	☐	☐	☐	☐	☐
ZINC	☐	☐	☐	☐	☐	☐

Note: In case you are not actively involved in producing/distribution in any particular commodity, you can choose the **'Others'** option from the drop - down. Please note that you have to individually select the category of each commodity.

I/We further declare that in case declaration is not provided for any of the particular exchange traded commodity, please consider the "Others" category for the same.

I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

CATEGORIES

- Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Famers Producers Organizations (FPOs) and such entities of like nature.
- Value chain participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Produces, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- Proprietary traders: It includes the members of stock exchanges trading in their proprietary account.
- Domestic financial institutional investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- Foreign participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- Others: All other participants which cannot be classified in the above categories.

FIIPL **Participants Category disclosure (circular SEBI/FMC/HO/CDMRD/DNPMP/CIR/P/2019/08 (04-01-19)**

(VOLUNTARY)

To
FAIR INTERMEDIATE INVESTMENT PVT. LTD.

I/We hereby confirm that among the given categories, I/We pertain to category I have ticked and authorize you to update the same in your records and for onward submission with Exchange.

Categories	**All Commodities**	**Specific Commodities (mention the names of commodities)**
FPOs/ Farmers	☐ < Tick for All	
VCPs (Arbitrageurs, Importer, Exporter, Hedger, Phy. Mtk Trader, etc.)	☐ < Tick for All	
Domestic Financial Institutional Investors (Banks, Insurance Com, Mutual Fund, etc.)	☐ < Tick for All	
Foreign Participants (NRI, EFE, etc.)	☐ < Tick for All	
Proprietary Traders	☐ < Tick for All	
Others	☐ < Tick for All	
	Client Sign:- **Date:-**	☞

FIIPL **Consent for Trading in Commodity Option Contract on Commodity Derivatives** **(VOLUNTARY)**

To
FAIR INTERMEDIATE INVESTMENT PVT. LTD.

Dear Sir,

Further to my/our KYC details, I/We hereby accord my/our **consent for trading in commodity option contract** subject to regulatory requirements of the Commodity Exchanges & SEBI/FMC from time to time and undertake that I/we am/are competent in all respect to part 1cipate to trade in Options on Commodity Derivatives.

I/we further confirm that I/we have received a copy of **Additional Risk Disclosure Documents for Option Trading** and have read & understood the same.

I/We further consent that all my/our securities held with the 'Member' for meeting my/our trading and exposure limits and/or towards upfront/initial margins, additional margins, and/or towards the my/our settlement obligations or for meeting marked to market losses, in any segment at any Exchange shall be utilized by the Member to transfer/ with the clearing corporations/house/member or pledge with the clearing corporation/house/member/NBFC/ financial institution duly registered with the appropriate Regulatory Authorities viz. RBI, SEBI/FMC and Stock Exchanges so as to meet the margin requirements on my/our account or other similar purpose. The 'Member' shall be free to do all such acts, deeds and things as may be necessary and expedient tor the above purpose.

Sign here: ☞ _____ **Name:**_____

Note: -In case of Corporate/Trust, Board Resolution is also required

FIIPL LETTER OF AUTHORISATION TO PLEDGE/RE-PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION **(VOLUNTARY)**

1. I/We are dealing through you as a client registered in NSE/BSE/MCX in Capital Market/ Future & Options/Commodity/Currency Derivatives Segments. I/we have pledged/provided you the securities (including shares and commodities both) as margin. I/we hereby confirm and declare that:

2. The Securities is in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise.

3. The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.

4. I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and Expenses as may be necessary from time to time.

5. I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, My/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and Subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities

6. You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities , Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.

7. I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

Sign here: _____ **Name:**_____

FIIPL **OPEN INTEREST DECLARATION** **(VOLUNTARY)**

Sub: My/Our request for trading in Commodity forward Contracts/Commodity Derivatives on MCX as your Client.

I/We, the undersigned, have taken cognizance of Circular MCX/300/2006 and MCX/338/2006 dated August 1, 2006 & August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI/FMC and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

Sign here: _____ **Name:**_____

To,
FAIR INTERMEDIATE INVESTMENT PVT. LTD.

DearSir,

I/We hereby acknowledges and accepts the following terms and conditions pertaining to my/our dealings in exchange traded currency derivatives withFAIR INTERMEDIATE INVESTMENT PVT. LTD.

1. I/We hereby confirm adherence to clause 3.4 (i) (a) of the circular number RBI/2023-2024/108 A. P. (DIR Series) Circular No. 13 issued by the Reserve Bank of India (RBI) on January 5, 2024. Furthermore, I/We verify possessing underlying exposure to the currency derivative contracts via FAIR INTERMEDIATE INVESTMENT PVT. LTD., and confirm that they areaspertheaforementionedRBIdirective.
2. I/We hereby pledge to adhere to position size within a limit of one hundred million United States Dollars (USD 100,000,000) as mandated by exchanges/RBI. In the event that position surpasses this designated threshold, I/We agree to handle th e surplus position through an Authorized Dealer or Custodian, as deemed suitable.
3. I/We hereby commit to provide sufficient evidence of the underlying exposure related to my/our currency derivative contractsuponrequestfrom FAIR INTERMEDIATE INVESTMENT PVT. LTD.,therelevantexchanges,ortheRBI.
4. I/We hereby reimburse FAIR INTERMEDIATE INVESTMENT PVT. LTD. and releases it from any liabilities, losses, damages, or costs that may arise if I/We fails to produce the required evidence of underlying exposure as stipulated in point 4 above. This reimbursement covers any legal actions, claims, demands, or expenses incurred by FAIR INTERMEDIATE INVESTMENT PVT. LTD. due to the non- compliance by me/us with these conditions.

I/We have read and agree to these conditions by signing below, and also commits to abide by the provisions delineated herein. Further, I/we have received a copy of relevant RBI guideline in this regard.

Sign here: _____ **Name:**_____

COMMODITY OPEN INTEREST -DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSIBLE IN ANY COMMODITY

Dear Sir,

Subject : My / Ourrequest for trading in commodity forward contracts / commodity derivatives on All Exchanges as your Client

I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX) issued by the, and relevant circulars issued by NSE, BSE & SEBI like SEBI/HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than Fair Intermediate Investment Pvt. Ltd.

OR

I/We hereby declare that I/we are also trading in Commodities through_____(name of the Trading Member) having Member ID_____in ☐ MCX ☐ NSE ☐ BSE under the Client ID _____ and through _____name of the Trading Member having Member ID_____ in ☐ MCX ☐ NSE ☐ BSE under the Client ID_____.

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX/NSE/BSE or SEBI and such position limits will be calculated in accordance with the contents of above statedcircularsofallexchangesasmodifiedfromtimeto time.

I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any pos ition in any commodity forward contract/commodity derivative on MCX/NSE/BSE through you or through any other member(s) of MCX/NSE/BSE, to enable you to restrict our position limit as prescribed by theabovereferredcircularofMCX/NSE/BSEasmodifiedfromtimetotime.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX/NSE/BSEonlyonthebasisofouraboveassuranceandundertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX/NSE/BSE for the non compliance of theaforesaidcirculars or as modifiedfromtimetotime.

Yours faithfully

Sign here: _____ **Name:**_____

1. Refusal of orders for Commodity Derivatives:-

The client is aware and agrees that the Commodity broker may refuse or restrict a client in placing the order in certain commodities depending on various conditions like volume / value / part of illiquid commodities although a client may have credit balance or sufficient margin in the trading account.

However, Commodity broker under exceptional circumstances may execute cliental order. The Commodity broker has the discretion to reject execution of such orders based on its risk perception.

2. Setting Up client's Exposure Limit:-

The client is aware and agrees that the Commodity broker may set the Exposure limits on the basis of available base capital which may comprise of Ledger and collaterals (after suitable margin hair cut). The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the Market conditions. Client agrees that said limit parameters is a dynamic process that is allowed at the discretion of the Commodity broker based on the market conditions and their risk perception about the market. However on exceptional situations broker may use its own discretion in providing the limits and may change for a client or for all depending on market condition.

3. Applicable Brokerage Rate:-

a) The Commodity broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below-

Delivery based- The maximum brokerage rate for the time being shall be 2 % (plus expenses) in case of transactions resulting into delivery.

Non- delivery based - The maximum brokerage rate for the time being shall be 1 % in case of non-delivery transactions.

b) The Commodity broker may charge different Brokerage for Deliverable and Intraday transactions.

c) Brokerage shall be charged on the premium amount at which the options contract was bought or sold and not on the strike price of The option contract. Maximum permissible brokerage rate is 2.50% of premium amount or Rs.250/- per lot, whichever is higher.

d) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch who in turn will forward the request to Head Office of the Commodity broker. Acceptance / rejection of such request is at the discretion of Commodity broker.

e) Other Levies, charges, service tax etc. will be charged on Brokerage as per the Rules prescribed by the Government / Regulatory Agencies. All the above charges and levies debited to clients would be mentioned in the Contract Note send to client.

4. Imposition of Interest on Outstanding debit and margins:-

The client is required to pay all amounts due to the Commodity broker on its due date. The amount due to broker shall include all type of Margin and Pay-in obligation or on account of any other reason.

In case the client does not pay the amount due on time, the Commodity broker shall charge delayed payment charges up to the rate of 18% per year on the daily outstanding value or at such rates as may be determined from time to time by the Commodity broker. In case of Commodity market, interest will be charged from the time it become due till the time obligation is cleared by the client. The objective of charging such a charge is to force a client to clear their dues on a timely basis.

The client agrees that the Commodity broker may impose fines/penalties for any orders / trades of the client which are contrary to this agreement / rules / regulations of the Exchange. Further, under the instances where the Commodity broker has been penalized from any Authority on account of / as a consequence of orders /trades of the client, the same shall be borne by the client.

5. The right to sell client's commodity derivative position or close client's positions, without giving notice to the client, on account of non-payment of client's dues:-

The Client shall provide timely funds/Securities /commodities for the purchase/sale of commodities to the Broker for meeting his obligation to the Exchange. In case of client falling short of providing fund/commodities the Commodity broker has the right to close the positions. The Commodity Broker has the right to sell client's securities or close clients position with or without giving prior notice to client on account of non-payment of dues to the extent of Ledger debit and/or to the extent of Margin obligation. The broker can liquidate the securities bought or collaterals given or any other Commodities given in any other form for clearing the clients obligation.

6. Shortages in Obligation Arising out Of Internal Netting of Trades

The internal close out policy for handling internal shortages in Commodities is in line with the exchange policy for handling shortages at exchange level. Apart from this the seller will be additionally debited by 0.50% penalty. Thus, the buyer will get the credit of the shortage based on the calculation given by exchanges and the Seller will be debited by the same amount + 0.50% penalty. Any changes in this policy will be updated on Fair Intermediate Investment Pvt. Ltd. website from time to time.

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:-

In case overall position in derivatives contracts has reached the Regulators prescribed Exchange limit / Market Wide Open Interest limit, then client may not be allowed to take further position, till such time Regulator prescribed limits comes down to create a new position.

Further, the Commodity broker may close the existing position of a client to the extent of Debit balances to release the Margin from the Exchange. In case if the Commodity broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.

8. Temporary Suspension/Closure of Accounts

The client may request the Commodity broker for temporary suspension/closure of his trading account by sending a written request to Branch. This request will be in turn sent by Branch to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.

The client would be required to clear all his dues / settlement of obligations before his account is temporarily suspended. The client may also be required to fulfill other conditions, on a case to case basis.

The Commodity broker can withhold the payouts of client and suspend/close his trading account due to any internal / regulatory action.

Upon Suspension/closure of trading account intimation will be sent to the client within 15 days of suspension.

9. Deregistering a client

In addition to what the client has agreed in the agreement, the Commodity broker may terminate a client with immediate effect, but not limited to the following reasons -

- If the client is debarred by SEBI/FMC or any other regulatory authority
- As a part of surveillance measure, if a client appears to be indulging in manipulative practices.
- Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.
- If the client violates any of the terms of the agreement.

10. Treatment of Inactive Clients

Fair Intermediate Investment Pvt. Ltd. identifies such client codes / trading accounts that are in-operative for a minimum period of preceding 12 months.

Accordingly, such trading accounts are made inactive in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account maintained with us. Further, if the client has any dues/ obligation to Fair Intermediate Investment Pvt. Ltd., then any Commodities/securities bought or collaterals given or any other securities/commodities. Given by the client in any other form for clearing his obligation; will be adjusted and the balance would be returned to the client.

For re-activation of such trading account, the client shall be required to make a request to re-open the account and submit all necessary information with regard to updation of his / their KYC requirement. Fair Intermediate Investment Pvt. Ltd. upon verifying at its end may activate client's trading code in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account. Upon re-activation the Member may execute the order on behalf of its client. Also, after reactivation, transactions on the basis of certain parameters are confirmed over telephone with clients, if such transactions are executed after a gap of such period of 12 months.

11. The Client is informed that Fair Intermediate Investment Pvt. Ltd. does carry proprietary trading.

12. Client acceptance of policies and procedures mentioned here in above –

I /we have fully understood and agree to sign the same. Above policies and procedures may be amended / changed unilaterally by the Member provided the same is intimated via email / writing or reflected in the client's login.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

Full Name:_____ **Trading Code:**_____

Sign here: ☞ _____

FIIPL **PLEASE GO THROUGH THE FOLLOWING TERMS AND CONDITIONS AND SIGN AS REQUIRED**

1. **Authorization for Fund Transfer & Maintaining the Margin:-** I am operating running accounts with you in Capital market segment, F&O segments and Currency & Commodity Segment of NSE/BSE/MCX, since I trade on continuous basis with you, various obligations may arise towards funds pay in, margin obligations and mark to market profit/loss. I hereby authorize FIIPL to effect transfer from my Account credits balance & securities from Capital market, Commodity market Segment of NSE, BSE & MCX as well as to derivatives Segment of both the exchange and vice versa to meet the settlement obligations and margin requirements in my Account as and when required. Further, I would also request you to release credit balance in my account on receipt of specific instruction in writing from me. Also you may take as standing instruction to adjust my credit balance with the debit balance, if any, in my account in other segment or Exchange as and when required.

2. **Authorisation for Sale of Securities/Commodity in case of Default:-** I/We hereby agree that if I/We fail to make payment of consideration to you in respect of any one or more securities/commodity purchased by me/us before the pay-in date notified by the exchange from time to time, you shall be at liberty to sell the securities/commodity received in pay-out, in proportion to the amount not received, after taking into account any amount lying to my/our credit, by selling equivalent securities/commodity at any time on the Exchange. I/We shall be liable for any loss arising to you on this account, till the date of sale out of securities/commodity by you in my account. I/We further agree that if I/We fail to deliver any one or more securities/commodity sold by me/us before the pay-in date notified by the exchange from time to time, such undercharged obligation in relation to delivering any one or more securities/commodity shall be deemed to have been closed out at the auction price or close out price, as may be debited to you in respect to the security/commodity for the respective settlement, to the extent traceable to me/us on my/our failure to deliver, otherwise the close out price on the date of pay-out in respect of the relevant securities/commodity, declared by the Exchange I/We further agree that the loss, if any, on account of the close out shall be to my/our account. I/We further agree that if for any reason, schedule of pay-in and pay-out is modified the aforesaid shall be made applicable reckoning the actual date of pay-in and pay-out, as the case may be.

3. **Others Terms & Conditions:-**

* I purchase and sales with speculative intention that is no going to result into delivery must be compulsorily squared-up before the close of market you must square up all such position at least fifteen minutes before the market closes. Any failure on your part to do so shall beat your own risk and you shall be ready to give/take deliveries and funds accordingly.

*FIIPL shall not be responsible for any un-executed orders. All On-line best-Market orders should NOT to be presumed as executed unless confirmed as trade by our dealer.

*You must strictly adhere to margin norms of the BSE/NSE/MCX. Any failure on your part in timely payment of margins shall be viewed seriously and we may not allow any further position/exposure on your account, besides squaring up your existing position. Moreover, FIIPL shall have the right to charge penalty up-to @2% p.m. of the margin amount in default in case there is any delay in payment of the same. Further, we may demand additional margins depending on the speculative nature of the script and market conditions in general or as applied by the respective stock exchanges. These margins would be payable as and when asked for.

*In the matters where the Exchange is a party to the dispute, the Civil Courts at Mumbai shall have exclusive jurisdiction and in all other matters, Civil Courts nearest to the Regional Arbitration Centre where arbitration proceedings or appellate arbitration proceedings were conducted shall have exclusive jurisdiction.

*The client shall keep himself/herself/itself updated regarding the changes in the rules, regulations, bye- Laws of stock exchanges and guidelines issued by SEBI/FMC issued from time to time.

*The client shall keep himself updated with the information updated by Exchange through various means which includes information posted on website.

I/we have read and understand the terms and conditions as mentioned above and agree to abide by them and any amendments thereto made by the stock exchanges from time to time.

Client Code		Client Name	
Date		Signature	

FIIPL

LETTER OF AUTHORISATION-MCX/NSE/BSE

To,
FAIR INTERMEDIATE INVESTMENT PVT. LTD. Dated:_____

Dear Sir,

I/we dealing with you as client at NSE/BSE/MCX in Capital, Derivative & Currency Segment 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 segments 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 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 or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to Debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary Account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my /our account and not settled as per the exchange requirements.

4. 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 notes issued by you.

5. I / We request that you / exchange / other regulatory authority may send /dispatch to me/us contract notes / e-mail Alert/other documents through e-mail on my / our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I /We note that non-receipt of bounced mail notification by the stock/commodity broker shall Amount to delivery of the contract note at my/our e-mail ID.

6. I/We will inform you the change of my/our demographic detail and other detail like Bank, DP etc.

7. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also Involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in pay out of funds & securities, online & offline banking etc. 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 half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any 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.

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

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

10. I/we am/are agreeable for & authorise you to withhold funds pay-out towards all the applicable margins and debits.

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

12. I/we have a Trading as well as depository relationship with Fair Intermediate Investment Pvt. Ltd. Please debit the Charges relevant with depository services to my/our trading account. I/we also agree to maintain the adequate balance in my / our trading account/ pay adequate advance fee for the said reason.

13. I/we authorise you to send me/our the physical Contract notes/Margin statement/Ledger/Other documents through postal/courier and to charge administrative/postal/other charges if the contract notes sent to me get bounced more than 5 times.

14. For the purpose of providing quality and transparent services to its clients, the Company may record your Conversation while interacting with you."

Client Name		**Sign.**	

FIIPL

AUTHORISATON OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

To,
FAIR INTERMEDIATE INVESTMENT PVT. LTD.
2ND Floor Shukla Palace Sapru Marg, Date: ___/____/_____
Lucknow 226 001

Sir,

I/We hereby consent to receive from Fair Intermediate Investment Pvt. Ltd. The digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/ other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the information Technology Act 2000 and the rules made there under to my below mentioned email id (said email ID).

E-mail Id. _____

I/We further hereby agree that the Fair Intermediate Investment Pvt. Ltd. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id. In this regard, I/We further confirm and agree that:

1. The above is my/our personal E-mail id. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the above mentioned e-mail account. FIIPL shall not be liable to or responsible for any breach of secrecy. I/We will be solely responsible for the security of the information provided on my/our aforesaid e-mail id.
2. E-mails sent to any of the above mentioned e-mail account, which have not bounce back, shall be deemed to be duly delivered to me/us.
3. In the event any e-mail sent by FIIPL bounce back due to insufficient space in my/our inbox or in the event any network problem occurs, FIIPL shall in no way be responsible for the same.
4. FIIPL shall no take cognizance of out-of-office/our of station auto replies and I/We shall be deemed to have received electronic mails.
5. Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by FIIPL.
6. FIIPL may at its discretion discontinue to send me/us the Statements in physical form.
7. FIIPL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
8. FIIPL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from FIIPL.
9. I/We shall inform FIIPL by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the E-mail given above.
10. I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as Specified under the relevant agreements entered in to with FIIPL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
    Whenever I/We want to discontinue the said facilities, I/We shall inform to FIIPL immediately in writing in prescribed Format.

I/We further agree that FIIPL will not be responsible for non-receipt of documents sent via electronic delivery due to change in/incorrect e-mail address/ correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/ server / internet connection etc. Further I/We agree and undertake to indemnify FIIPL and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc. that may arise in future on account of my/our above authorization request.

I/We further agree that in case of non-received of any mail/bounced mail FIIPL may at its sole discretion provide such Contract notes & Statements in physical form.

Name of Client		**Trading Code**	
Sign.		**Demat ID**	

As per Regulation 19(I) of Securities Contracts (Regulation) (Stock Exchange and Clearing Corporations) Regulations,2012 (SECC Regulations) which states that no person shall, directly or indirectly, acquire or hold equity share of a recognized Stock Exchange or recognized Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulation 19 and Regulation 20 as prescribed by SEBI/FMC (herein referred as "Board") are reproduced below:

Eligibility for acquiring or holding shares.

(1) No person shall, directly or indirectly, acquire or hold equity shares of a recognized stock exchange or recognized Clearing Corporation unless he is a fit and proper person.

(2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire Equity shares such that his shareholding exceeds two percent of the paid up equity share capital of a recognised Stock exchange or recognized clearing corporation shall seek approval of the Board within fifteen days of the Acquisition.

(3) A person eligible to acquire of hold more than five percent of the paid up equity share capital under sub - regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five percent of the paid up capital equity share capital of a recognized exchange or a recognised clearing corporation only if he has obtained prior approval of the Board.

(4) Any person holding more than two per cent. Of the paid up equity share capital of the recognized stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.

(5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.

(6) Any person holding more than two per cent, of the paid up equity share capital in a recognized stock exchange or a recognised clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to the recognised stock exchange or recognized clearing corporation, as the case may be, that he complies with the fit and proper criteria provided in these regulations.

Fit and proper criteria.

20 (1) For the purposes of these regulations, a person shall be deemed to be a fit and proper person if----------

(a) Such person has a general reputation and record of fairness and integrity, including but not limited to ----------

(i) Financial integrity;

(ii) Good reputation and character; and

(iii) Honesty;

(b) Such person has not incurred any of the following disqualifications----------

(i) The person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence or any offence against the securities laws;

(ii) An order for winding up has been passed against the person;

(iii) The person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;

(iv) An order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or form accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expire of the period specified in the order has not elapsed;

(v) Any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;

(vi) The person has been found to be of unsound mind by a court of competent jurisdiction and the finding is in force; and

(vii) The person is financially not sound.

(2) If any question arises as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

Sign. **here:-**	

FIIPL

Do you have any Non-Indian Country (ies) of Birth / Citizenship / Nationality and Tax Residency ? ☐Yes ☐ No

Sole/First Holder/Guardian ☐Yes ☐ No		**Second Holder** ☐Yes ☐ No		**Third Holder** ☐Yes ☐ No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship /Nationality		Country of Citizenship /Nationality		Country of Citizenship /Nationality	
Are you a US Specified Person ?	☐Yes ☐ No Please provide Tax Payer ID	Are you US Specified Person ?	☐Yes ☐ No Please provide Tax Payer ID	Are you a US Specified Person ?	☐Yes ☐ No Please provide Tax Payer ID
Country of Tax Residency* (Other than India)	Taxpayer Identification No.	Country of Tax Residency* (Other than India)	Taxpayer Identification no.	Country of Tax Residency* (Other than India)	Taxpayer Identification no.
1.		1.		1.	
2.		2.		2.	
Address		Address		Address	

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along

FATCA-CRS Terms and Conditions

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 Fair Intermediate Investment Pvt. Ltd. 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).

Signatures: Sole/First Holder Signature Second Holder Signature Third Holder Signature

*For detail terms & conditions please see Client Copy

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

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 of Global Entity Identification Number of GIIN, etc.

In case the Entire 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)

1.	We are a financial institution (Refer 1of part C) ☐ Or Direct reporting NFE (Refer 3 (vii) of Part C) ☐ Please tick as appropriate	**GIIN** _____ 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 Name of sponsoring entity_____
	GIIN not available (please tick as applicable)	☐Applied For ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category ☐ (Refer 1 A of Part C)

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 (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes ☐ (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 (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes☐ (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: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of Stock Exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes☐ Nature of Business Please specify the sub-category of Active NFE ☐ (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes☐ Nature of Business

UBO Declaration (Mandatory for all Entity Except, A Public Trust Company or a related entity of Publicly Traded Company)

Category) Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company ☐ Union corporated 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 / 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)

Details	**UBO 1**	**UBO 2**	**UBO 3**
Name of UBO			
UBO Code (Refer 3 (vi)of Part C)			
Country of Tax residency*			
PAN#			
Address			

Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID*			
Tax ID Type			
City of Birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth			
Percentage of Holding(%)			

*To include US, where controlling person is a US citizen of Green Card Holder.

If UBO is KYC compliant, KYC 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.

Attached 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 to inform Fair Intermediate Investment Pvt. Ltd. For any modification to this information promptly.

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

Name : _____

Designation: _____

Signature:

Sole/First Authorised Signatory _____ Second Authorised Signatory _____ Third Authorised Signatory _____

Place: _____ Date: _____

For detail terms & conditions please see Client Copy.

FIIPL **Suitability Assessment Cum Declaration** (VOLUNTARY)

I/We confirm that trading in equity/derivative contracts is appropriate or suitable for me/us. Further by signing this document, I/we confirm that I/we have been apprised of the risks involved in investing in securities market and in particular all types of derivative contracts.

I/We confirm that there is no assurance on profits or any fixed or guaranteed return while executing transactions in the securities market /commodities market. I/We confirm that the research recommendations disseminated by FIIPL through its employees/associates are incidental to its stock broking services and transactions affected basis the same are in good faith and are

I/we authorize the same.

I/We also confirm that I/we will not hold FIIPL or its group companies, associates or any of its employees, directors, officers or sub brokers/authorized persons responsible or liable for any direct or indirect, punitive, special or exemplary damages, for any profit /loss arising or resulting due to transactions elected in my/our trading /demat account.

I/We may, in advance, instruct the dealer for placement of orders in my/our trading account basis market events/market view/ recommendations and I/we may not be available for re-confirmation on such order placement. I/We also understand that all orders placed in the derivative segment/trade confirmations with account balances are sent to my registered mobile number. I/We also understand that contract notes, margin bills, statement of accounts, profit and loss statements, statement of transactions / holding (if any) are sent to my/our registered e-mall id and I/we shall bring any discrepancy therein to your notice within 24 hours from the date of receipt of the said details / documents, in writing, failing which it shall be legally construed that the transactions have been elected by me/us and I/we shall not challenge the same in any forum / court of law. I/We further confirm the levy of interest on the amounts lent by the Member towards securities transactions / commodities transactions and / or margin requirements and payable by me/us in my trading / demat accounts as agreed by me/us in the tariff sheet and I/we undertake not to challenge the levy of such Interest at a later point of time.

I/We further agree that I/We may acknowledge net positions / statement of accounts / statement of transactions / profits and loss statements by affixing my/our signature on the said documents and that would amount to confirmation of transactions effected in my/our trading account and would not be disputed in any manner at any point of time. I have been informed and I acknowledge that FIIPL does not authorize any of its employees/Authorised Person/employees of Authorised person to send any details / documents pertaining to my/our trading / demat accounts and I/we shall not depend upon or take into consideration any mail / document shared through mobile or any other modes of communication except the mails / documents received from the below mentioned email ids and my/our reliance to such communication shall be at my own risk and shall not in any way bind the company.

Documents	E Mail ID
Contract Note	edocumens@fairinvest.co.in
Demat Transaction statement and holdings	dp.fair@fairinvest.co.in
Statement of accounts	dp.fair@fairinvest.co.in

I understand that FIIPL Employees / Authorized Persons or their Employees are not authorized to offer fixed/ guaranteed/regular returns/ capital protection / investment advisory / recommendation services through any mode including verbal/ digital (SMS/WhatsApp/email or any other messaging services) and also are not authorized to enter into any loan agreement with me to pay interest on the funds offered by me. I undertake to evaluate recommendation / advise if any, received through any mode and take informed decisions before investing. I understand that FIIPL shall not be responsible for any loss arising thereof. 1 also undertake not to initiate any legal proceeding including vicarious liability basis the above.

I understand that surveillance department of FIIPL on a random basis will seek confirmation as to whether am trading through my trading account and affirmative confirmations to that effect would be deemed by FIIPL as confirmation of all transactions elected in my account and I undertake not to challenge the same in any manner at a later point of time as the transactions are owned by me upon such confirmation. I confirm having read and understood all the contents of the suitability assessment cum declaration as given here in above and I agree to the same.

Risk Profile: ☐ Aggressive ☐ Moderate ☐ Conservative

Sign here: _____ **Name:**_____

Portfolio Advisors &

A Full-Service Brokerage House For

Equity, Derivatives & Commodities

Corporate Member

Multi Commodity Exchange of India Ltd.
National Stock Exchange of India Ltd (NSE)
Bombay Stock Exchange Ltd (BSE)
Central Depository Services India Ltd (CDSL-DP)

FAIR INTERMEDIATE INVESTMENT PVT. LTD

Regd. Office:
2nd Floor, Shukla Palace, Sapru Marg, Lucknow - 226 001
Ph.: 0522-4052800, 4052803, 4052806, 4052825, 4052826
Visit us at: **www.fairinvest.co.in** E-mail: **fair_invest@rediffmail.com**

FIIPL OPTION FORM FOR ISSUANCE OF DIS BOOKLET ALONG WITH ACCOUNT OPENING

Client ID	D	D	M	M	Y	Y	Y	Y

DP ID									Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

FAIR INTERMEDIATE INVESTMENT PVT. LTD.

2ND FLOOR SHUKLA PALACE SAPRU MARG

LUCKNOW 226 001

Dear Sir/Madam,

I/We hereby state that:

☐ **OPTION 1:**

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my/our account though I/we have issued a Power of Attorney (POA) / Demat Debit and Pledge Instruction (DDPI) / **registered for eDIS** / executed PMS agreement in favour of/with _____(name of the POA/DDPI/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such **Power of Attorney holder** -Clearing Member/by PMS manager/**for executing delivery instructions through eDIS.**

☐ **OPTION 2:**

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a Power of Attorney (POA) / Demat Debit and Pledge Instruction (DDPI) / **registered for eDIS** / executed PMS agreement in favour of / with _____(name of the attorney /Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such **Power of Attorney Holder/ Demat Debit and Pledge Instruction** - Clearing Member/by PMS manager **or for executing delivery instructions through eDIS.** However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(23)	(13)	(13)

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FIIPL ACKNOWLEDGEMENT TO FAIR FROM CLIENT

To,
FAIR INTERMEDIATE INVESTMENT PVT. LTD.
2nd Floor Shukla palace Sapru Marg,
Lucknow 226001

I/We wish to open a commodity trading account with M/s Fair Intermediate Investments Private Limited, a member of NSE/BSE/MCX, and perform the following functions:

1. I/We have learned from the Member that clients prefer to receive the following documents in either electronic or physical form:
A. Rights and Responsibilities of Members, Authorized Persons, and Clients.
B. Internet and Wireless Technology-Based Trading Facility Provided by the Member to Clients.
C. Risk and Disclosure Document for Commodity Markets.
D. Policies and Procedures
E. Guidance Note - Do's and Don'ts for Investors Trading on the Exchange.

2. I/We also understand from our Member that to receive the above-mentioned documents in either electronic or physical form, I/We will be required to provide my/our consent.

3. Therefore, in light of the foregoing, I/We hereby voluntarily consent to receive the above-mentioned documents:

☐ **Electronic Form** ☐ **Physical Form**

4. If I/We opted for the same in Electronic mode, then Member can sent said aforesaid documents at my registered email id.

5. I/We have been further aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. at **www.fairinvest.co.in**

6. I/We am/are aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.

7.I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

I/We hereby confirm that I/We have received a copy of following documents:

- Account Opening Form
- Trading Account Related Details & Tariff Sheet (Trading & Demat Account)
- Rights and Obligations of Members, Authorised Person and Clients
- Internet and Wireless technology based trading facility provided by Members to Client
- Risk and Disclosure document for capital market and derivative segments
- Guidance note-Do's and Don't for trading on the Exchange(s) for Investors
- Policies and procedures
- Terms & Conditions as mutually agreed by me & FATCA & CRS Terms & Conditions
- Other disclosure/documents as agreed by me specifically in voluntary segment.
- Copy of DDPI (Demat Debit and Pledge Instruction)
- Investor Charter

"Investors may lodge their complaints by sending an email to us or by sending an email at the nearest Investor Service Centre of stock exchange or by sending physical complaint to the nearest investor service centre of stock exchange or through SEBI/FMC SCORES 2.0 (Home - scores.SEBI/FMC.gov.in) or through SMART ODR Portal **(https://smartodr.in/)**."

Sign here: ☞ _____ **Client Name:**_____
Date:_____

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