

<b>Personal and Financial Information Updation Form (PFIUF)</b>		<b>Mandatory</b>	<b>Annexure 1</b>
<b>To</b> <b>SPA Securities Limited</b> 25, C-Block, Community Centre, JanakPuri, New Delhi – 110 058		<b>From</b>	<b>Client Code</b>  <b>Client Name</b>

Financial Year	Annual Income (Rs.)	Documentary proof attached#	Mkt. Value of Portfolio	Occupation & Nature of Business (Product or Service offered) (Tick appropriate box)
	<input type="checkbox"/> Less than 5 Lacs <input type="checkbox"/> 5-10 lacs <input type="checkbox"/> 10-50 lacs <input type="checkbox"/> Above 50 lacs			<b>OCCUPATION</b> <input type="checkbox"/> Same as given earlier <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Private / Public Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Others (Specify)
<b>Segment Opted</b>  <input type="checkbox"/> CASH ( NSE + BSE)  <input type="checkbox"/> F&O ( NSE)		<b>Signature</b>  <input checked="" type="checkbox"/> 1 ✓ .....  <input checked="" type="checkbox"/> 2 ✓ .....		<b>Nature of Business ( Product or services offered) if any:</b>

(#) Please provide any of the documents as per instructions mentioned in this PFIUF

**Declaration:** I / We hereby declare and confirm that the information and particulars given above are true and correct to the best of my knowledge. I / We agree to immediately inform you if there is any change in any of the aforesaid information / details. I / We also declare that if any of the above statements / information are found to be incorrect or false or any information or details have been suppressed or omitted therefrom, I / we may be debarred from doing business through you in any of the Segment of any of the Stock Exchanges as your may decide. I / We also agree to furnish such information / details as you of any of the Stock Exchange or the SEBI or any other regulatory authority may require from me / us from time to time and I / we further agree and confirm that I / we fail to provide any such information / details, you shall have the right to cancel my / our registration as Client with you. I/We also understand that the information, as furnished above, will be sole property of Spa securities Limited and would not be disclosed to any one unless required by law or except with the express permission of me/us.

<b>Client signature</b>	<b>Signature</b>	<input checked="" type="checkbox"/> 3 ✓ .....	<b>Date</b>	
	<b>Name</b>		<b>Place</b>	

**Instruction for Client:**

**Proof of Income:** Please provide any of any of the following document as proof of income

<input type="checkbox"/> Self attested copy of ITR Acknowledgement <input type="checkbox"/> Copy of Form 16, attested by the Employer, in case of salary income <input type="checkbox"/> Copy of Salary Slip attested by the Employer <input type="checkbox"/> Copy of Demat account Holding statement <input type="checkbox"/> Self declaration along with relevant supporting	<input type="checkbox"/> Self attested copy of Annual Accounts <input type="checkbox"/> Net worth certificate <input type="checkbox"/> Bank account statement for last 6 months <input type="checkbox"/> Copy of any other relevant documents substantiating ownership of assets
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FOR OFFICE USE ONLY		Checklist for KYC Updation					
For Branches/Sub-brokers							
Particulars	Document Name	Financial Year	Date of Receipt	Verified By		Remarks	
				Name	Sign		
Running Account Authorization Letter	N.A.						
	N.A.						
Doc. Evidence for Financial Details / Financial Statements/ Networth							
For Head Office							
S. No.	Particulars		Comp. Status (Yes / No / NA)	Name	Sign.	Date	Remarks
1	Checking of Personal and Financial Information Updation Form (PFIUF)						
	1.1	Checking of Form					
	1.2	Financial Details provided					
2.	Data Updation in Back Office – Maker Entry						
3.	Data Updation in Back Office – Checker Entry						
4.	Scanning of Documents						