

KYC Related Information Capture Form & Verification (For Automatic Form Filling)

PAN Card :

KRA Status : ☐ Verified ☐ Old Record/NO KYC ☐ Under Process

KRA Agency: ☐ CVL ☐ DOTEX ☐ CAMS ☐ NDML ☐ KARVY

NAME:

FATHER / SPOUSE NAME:

DATE OF BIRTH:

Proof of Address

☐ KRA DOC USED ☐ Document Given By Client:

DOCUMENT: Validity of Document:

Address Line 1 :

Address Line 2 :

City : Pin : State : Country:

Contact Details

Telephone (O): (R) : (M) :

Email :

Bank Account Related Information

Bank Name :

Branch Address :

Bank Account Number:

MICR Code: IFSC Code:

Proof Provided for Bank Details: ☐ Cancel Chq with Pre-Printed Name ☐ Pass Book ☐ Bank Statement

Demat Account Related Information

DP Name :

CDSL BO ID :

Nominee Name :

Relationship with BO :

2nd Holder Name :

2nd Holder PAN Card :

For Office Use Only

Name as Per PAN ☐ Father/Spouse Name as per Pan ☐ Birth Date as per PAN ☐

Address Matched as per Document ☐ Form Checked By : Date of Checking :





Shares & Stock Brokers

Member: National Stock Exchange of India Limited
Bombay Stock Exchange Limited
SEBI Regn. No. INZ 0000257533
For CDSL IN-DP-CDSL-195-2002
CDSL BO Id: 12029000

CLIENT REGISTRATION APPLICATION FORM

FOR INDIVIDUAL

NSE : CASH / F&O / CURRENCY , DP & BSE : CASH

Client Name : _____

Client Code : _____

CDSL Bo Id : _____

Name of stock broker/ trading member/clearing member	RRS SHARES & STOCK BROKERS PVT LTD
SEBI Registration No. and date scores@sebi.co.in	For NSE :INZ 0000257533 & Dated: 05-09-2000 For BSE :INZ 0000257533 & Dated: 11-07-2019 For CDSL : IN-DP-CDSL-195-2002 & Dated: 29-10-2002 (Depository Participant)
Registered office & Correspondence office address:	24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound, 114, Ambalal Doshi Marg, Fort, Mumbai - 400 001. Tel No.: 022-61829200/9203/9204/9206/9209/9212/9213 For Demat Section: 022-61829211/209
Compliance officer name: phone no. & email id:	Ketan M Shah (NSE) Hitanshu R Shah (BSE) 022-61829213 • compliance@rrsshare.in
CEO name: phone no. & email id:	Hitanshu R Shah 9821029148 • hitanshu@rrs.in
For any grievance/dispute please contact RRS SHARES & STOCK BROKERS PVT LTD at the above address or email id: grievance@rrsshare.in and Phone no. 91-022-61829213. In case not satisfied with the response, please contact the concerned exchange(s)NSE: 022 2659 8190 • E-mail Id: ignse@nse.co.in BSE: 022 22728517 • E-mail Id: dis@bseindia.com	

Dealing Office:
411, P J Tower, BSE Bldg,
Fort, Mumbai - 400001
Tel No.: 022-61829109, 61829125

E-mail: hitanshu@rrs.in

Branch Office:
201, Sahyog Complex,
Near Deluxe Cross Roads, Nizampura,
Vadodara - 390002 Gujarat, India.
Tel No.: 91-265-3309330, 3309337
Email: pab@rrs.in

RISK CATEGORY of Client	RISK ASSIGNED	AUTHORISED SIGNATORY
Category A-Low Risk		
Category B-Medium Risk		
Category C-High Risk		

INDEX OF DOCUMENTS
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	2-8
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	9-13
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	14-17
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	18-19
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	20-23
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	24
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Customer Profile	Additional detail about client	25
8.	Voluntary Documents	This Document contains additional clauses between client and broker	26-29
9.	Running Account Authorisation	To maintain fund, securities on running account basis	30
10.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	31
11.	Authorisation Letter & Declaration for NRI / FN	To maintain fund, securities on running account basis & Declaration under FEMA (if applicable)	32
12.	Letter of Authority	Letter for smooth functioning of account	33-34
13.	Client Defaulter Declaration	In case of any defaulter database	34
14.	Letter for dealing in Mutual Fund Schemes-NSE Star MF	This letter is for dealing in units of Mutual Fund	35-36
15.	DP FORM	Document captures the additional information about the constituent relevant to DP account opening form, nomination form.	37-41
16.	Rights and Obligations	Between BO and DP as prescribed by SEBI and Depositories	42-43
17.	Power of Attorney	This document authorises stock broker for pay-in & pay-out of securities	44-45
18.	SMS Alert	This contains term & conditions regarding SMS alert facility	46-47
19.	DP Charges	Document detailing the charges levied on the client of various categories.	48
20.	Acknowledgement of receipt	Acknowledgement of receipt of all mandatory and voluntary documents by the client.	49

**Important Instructions:**

- A) Fields marked with '*' are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

Application Type*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type*

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

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

PHOTO

Kindly
sign
across

Signature / Thumb Impression

Kindly sign across the photo but not on the face☐ **2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

Place / City of Birth*

ISO 3166 Country Code of Birth*

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

- ☐ A- Passport Number
- ☐ B- Voter ID Card
- ☐ C- PAN Card
- ☐ D- Driving Licence
- ☐ E- UID (Aadhaar)
- ☐ F- NREGA Job Card

Passport Expiry Date

Driving Licence Expiry Date

☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

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

- Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
- Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
- ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify
- ☐ Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District*

Pin / Post Code*

City / Town / Village*

State / U.T Code*

ISO 3166 Country Code*

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

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

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

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

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

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

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

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

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

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)																					
Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative																				
Name*	Prefix	First Name	Middle Name	Last Name																			
(If KYC number and name are provided, below details of section 6 are optional)																							

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

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

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

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

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

Date : DD - MM - YYYY

Place :

X

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date												
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

[Employee Signature]

INSTITUTION DETAILS

Name												
Code												

[Institution Stamp]

RRS

FATCA-CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

Please seek appropriate advice from your professional tax professional on your tax residency and related FATCA & CRS guidance

PAN*									
Name									
Address Type [for address] KYC	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential / Business							
	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office							
Place of Birth					Country of Birth				
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 1-5 Lacs			Occupation Details [Please tick any one (✓)]	<input type="checkbox"/> Business	<input type="checkbox"/> Professional		
	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 10-25 Lacs				<input type="checkbox"/> Public Sector	<input type="checkbox"/> Private Sector		
	<input type="checkbox"/> 25 Lacs - 1 Cr	<input type="checkbox"/> > 1 Crore				<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife		
Net Worth in INR. In Lacs [Optional]						<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Retired		
						<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer		
Net Worth Date [Optional]	dd-mmm-yyyy					<input type="checkbox"/> Others [Please specify] _____			
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes <input type="checkbox"/> Related to PEP				Any other information [if applicable]	[Please specify]			
	<input type="checkbox"/> Not Applicable								

* If PAN is not available, please specify Folio No(s)

Is your Country of Tax Residency other than India – ☐ Yes ☐ No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent	Identification Type [TIN or other, please specify]
1			
2			
3			

to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective countries especially of USA

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/am aware that I may be liable for it. I hereby authorize RRS Shares & Stock Brokers Pvt Ltd to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to/any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees, RTAs ('the Authorized Parties') or any Indian or foreign governmental to statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize RRS Shares & Stock Brokers Pvt Ltd to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Date:

Signature:

Place:

--

TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

1. Bank Name

Branch Address

Bank A/c. No

MICR

IFSC Number

Type

Savings

Current

NRI

NRE

NRO

2. Bank Name

Branch Address

Bank A/c. No

MICR

IFSC Number

Type

Savings

Current

NRI

NRE

NRO

B. DEPOSITORY ACCOUNT(S) DETAILS

1. DP

CDSL

NSDL

(please tick any one DP you wish to receive pay out of your bought securities)

Depository participant Name

Beneficiary Name

NSDL DP ID

I

N

CDSL BO ID

CLIENT ID

2. DP

CDSL

NSDL

(please tick any one DP you wish to receive pay out of your bought securities)

Depository participant Name

Beneficiary Name

NSDL DP ID

I

N

CDSL BO ID

CLIENT ID

C. TRADING PREFERENCES

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

Exchanges		Segments		
NSE / BSE	Cash	(4)		Currency Derivative (NSE)
NSE	F&O	(5)		

If, in future, you want to trade on any new segment/new exchange, separate authorisation/letter will be taken.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/ authorised persons in charge of dealing in securities during the last 3 years: NO

E. DEALINGS THROUGH AUTHORISED PERSON (AP) AND OTHER STOCK BROKERS

If client is dealing through the AP, provide the following details:

[illegible]

SEBI Registration / Exchange number

Registered office address

2. Contact Details Tel (Off) Tel (Res)

Website

Whether dealing with any other Stock broker/Sub-broker/AP (if case dealing with multiple Stock brokers/Sub-brokers/AP, provide details of all)

Name of Stock broker

Name of Sub-broker/AP

[illegible]

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

F. ADDITIONAL DETAILS

Whether you wish to receive Physical Contract Note or Electronic Contract Note (Specify - Physical/Electronic)

Specify your Email id, if applicable - As Per Authorisation for Electronic Statements

Whether you wish to avail of the facility of internet trading / wireless technology (please specify) ☐Yes ☐No

Platform Name	RRS Diet	RRS Trade	Mobile Trading
Platform Type	Application - based trading platform	Web - based trading platform	Mobile Trading platform
Indicate Yes for facility you wish to opt	XXX	XXX	

Number of years of Investment/Trading Experience

Any other information	NA
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G. INTRODUCER DETAILS

Name of the Introducer

Status of the Introducer

(Sub-broker/Remisier/Authorised Person/Existing Client/Others, please specify)

Residential Address

City/town/village _____ Pin code _____

[illegible]

Signature of the Introducer:

OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

☐ Upto Rs. 1,00,000/- ☐ Rs. 1,00,001/- to Rs. 5,00,000/- ☐ Rs. 5,00,001/- to Rs. 10,00,000/-
☐ Rs. 10,00,001/- to Rs. 25,00,000/- ☐ Rs. 25,00,001/- to Rs. 100,00,000/- ☐ Above Rs. 100,00,001/-

Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick
any one and give brief
details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business
☐ Student ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Others _____

3. Please tick, if applicable

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

4. Any other information

H. NOMINATION DETAILS

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

Nominee's Name _____
Relationship with the Nominee: _____
PAN _____ Date of birth of nominee DD MM YY YY
Address _____
City _____ State _____
Country _____ Pin Code _____
Tel. No. _____ Fax No. _____
Mobile No. _____
Email id _____

If Nominee is a minor, details of guardian:

Full Name of Guardian of Nominee _____
Address _____
City _____ State _____
Country _____ Pin Code _____

[illegible]

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

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

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

1. Witness Name

Witness Address

Witness Signature _____

2. Witness Name

Witness Address

Witness Signature	
----------------------	--

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) "Risk Disclosure Document", Policies and Procedures of RRS SHARES & STOCK BROKERS PVT LTD. 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.

Place:

(7)

Date: _____

Client Signature

FOR OFFICE USE ONLY

[illegible]

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

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

For **RRS SHARES & STOCK BROKERS PVT LTD.**

Signature of the Authorised Signatory

Date:_____ **Place:**_____ **Seal/Stamp of the stock broker**

INSTRUCTIONS/ CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

- 2. Self-certified copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted. (Not more than 4 months old)
- 3. Demat master or recent holding statement issued by DP bearing name of the client.
- 4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- 5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License

☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook ☐ *Latest Telephone Bill (only Land Line)

☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please specify)

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted**

d

d

/

m

m

/

y

y

y

y

10

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

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure

to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

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

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/ e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/ stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/ stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:**1.1 Risk of Higher Volatility:**

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

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

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

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

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS**BEFORE YOU BEGIN TO TRADE**

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market

transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

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

DISPUTES/ COMPLAINTS

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

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

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

POLICIES AND PROCEDURES

MANDATORY

This document outlines various policies and procedures framed and followed by RRS SHARES & STOCK BROKERS PVT. LTD. ("Stock Broker") with respect to its dealing with its clients and as a stock broker on National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd (BSE)

The policies and procedures as stated herein below are subject to change from time to time with the client's consent depending upon regulatory changes, its risk management framework, other market conditions, etc. which will be communicated to the member through a approved mode of communication with the clients consent.

The said policies and procedures which are subject to upgradation in the same from time to time are produced below for the benefit and notice of all our clients.

A. Refusal of orders for Penny Stock and/or Illiquid Stocks

In view of the risks associated in dealing with Penny Stocks and/or Illiquid Stocks, Stock Broker would generally advice its client to desist from trading in them. Further, SEBI, BSE/NSE or Stock Broker may issue circulars or guidelines necessitating exercising additional due diligence by the clients, for dealing in such securities.

Although, the term "Penny Stock" is not defined by BSE/NSE/SEBI, a "Penny Stock" generally refers to a stock whose characteristics include but are not limited to:

- Small market capitalisation;
- Trading at a price less than its face value;
- Have unsound fundamentals and or which may/may not be liquid (A list of illiquid securities is jointly release by NSE AND BSE from time to time.)
- Stock Broker recognises that it is the client's privilege to choose shares in which he/she would like to trade. However Stock Broker likes to pay special attention to dealing in "Penny Stocks". To this end.
- Stock Broker may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head - Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, Clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Client are expected not to place orders in penny stocks or it is liable to be rejected at the sole discretion of Stock Broker depending on prevailing market prices. Any such order is liable to be rejected at the sole discretion of Stock Broker.
- In case of sale of "Penny Stocks" clients should ensure the delivery of shares to Stock Broker depending on before the pay in date.
- Under no circumstances, Stock Broker shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

The above list of criteria is in indicative list. Stock Broker may at its sole and absolute discretion define from time to time other category/criteria to treat a security as Penny Stocks and / or Illiquid Stocks.

B. Setting up client's exposure limits:

While setting up the exposure limits for and on behalf of the clients, Stock Broker broadly takes in to consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc. Considering the said parameters the exposure limit for a client would be set up as follows.

- Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing market conditions and margin deposited by client in the form of funds/securities with Stock Broker. These limits may be set exchange-wise segment-wise, and scrip-wise.
- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales/ Sales traders.
- Stock Broker retains the discretion to set and modify, from time to time any client's exposure limit decided as above.
- Whenever any client has taken or wants to take an exposure in any security. Stock Broker may call for

appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, Stock Broker may refuse to trade on behalf of such client at its own discretion.

- In case of cash segment, Stock Broker may at its sole and absolute discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and/or margin. The quantum of clean exposure limit shall be decided by Stock Broker. On case to case Stock Broker may, at its sole and absolute discretion, give higher clean exposure limits to certain set of clients. Stock Broker reserves the right to withdraw clean exposure limit granted to the client at any point of time as its sole and absolute discretion. The client cannot raise any concern/dispute for the same.
- The client will have to abide by the exposure limit set by Stock Broker

C. Applicable Brokerage Rate:

For rendering the broking services, Stock Broker charges brokerage to the client. The Brokerage rate will be as per the terms agreed with the client at the time of client registration.

- Brokerage Rate is mutually decided between the Stock Broker and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI/BSE/NSE and or Securities Contract Act and Rules or any other relevant statutes.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client and with the clients consent as per applicable laws, rules, regulations, circulars of SEBI / Exchange.

The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- Service Tax and Education Cess
- SEBI/Exchange.
- Stamp Duty
- Statutory charges payable to BSE/NSE/SEBI/Govt. Authorities etc.

D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period

(I) Imposition of Penalties

BSE/NSE/Clearing Corporation/SEBI levies penalties on the broker for irregularities like short reporting penalty etc. during the course of business can be imposed on clients. Stock Broker shall recover such imposed penalties/levies, if any, by BSE/NSE regulator Clearing Corporation from the client which arise on the account of dealings by such client. Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted against the dues owed by Stock Broker to the clients.

(II) Delayed payment charges

While dealing with Stock Broker it is a responsibility of the client to ensure that the required margin obligation or settlement obligation or any other dues payable to Stock Broker are paid within the time period stipulated by BSE/NSE or Stock Broker, whichever earlier.

In the event if the defaults in meeting its above said lawful obligations towards Stock Broker, Stock Broker shall have absolute discretion to charge and recover from the client's account, delayed payment charges at such rate (as communicated to client by a mode of communication he/she/they have preferred)/manner/interval (to be informed to clients).

Delayed payment charge is only a penal measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

The client will not be entitled to any interest on the credit balance/surplus margin available/kept with Stock Broker.

No interest or charges will be paid by Stock Broker to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorisations.

E. The right to sell client's securities or lose clients' positions, without giving notice to the client, on account of non-payment of client's dues limited to the extent of settlement/margin obligation

The client shall fulfill all his/her/its settlement obligations and/or other lawful liabilities to Stock Broker, within the time frame stipulated by the Stock Broker or BSE/NSE, whichever is earlier. Without prejudice to its other rights and remedies available under the mandatory and voluntary client registration documents executed/to be executed by and between the client and Stock Broker (hereinafter referred to as "the mandatory and voluntary

client registration documents or at law open/outstanding position, sell the client's lawful securities (whether approved by Stock Broker or not) available with Stock Broker at any time to recover its lawful dues without giving any notice to the client in the following circumstances.

- If the clients fails to pay any margin, settlement obligations and/or other lawful liabilities due to Stock Broker within the stipulated time frame;
- In the event that the market value of the client's securities lying as margin or bought by the client for which payment is not made by client, for any reason fall or is anticipated to fall, or circumstances arise or are likely to arise which may in the sole opinion of Stock Broker jeopardize its interest and expose it or is likely to expose it to any financial loss or damage.

Any and all losses (actual), financial charges, damages on account of such liquidation/sell/closing-out shall be borne by the client only.

F. Shortages in obligations arising out of internal netting of trades:

- To determine the net obligation of a broker/trading-cum-clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but because of default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages in fulfilling its obligation towards the other client(s). In such a situation, Stock Broker shall endeavor to collect the securities from the selling client and delivery it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to delivery the securities within 48 hours, then Stock Broker shall attempt to purchase the securities from the market and deliver it to the purchasing client. If Stock Broker is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.
- In case of shortage in meeting the settlement obligation, either party shall endeavor to make good such shortage through securities / value of shortage as per the Rules, Regulations any Bye-laws of the respective stock exchange(s).

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

Stock Broker shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with Stock Broker.
- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchanges or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- stock Broker has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the market are closed.
- Failure by the client in providing sufficient/adequate margin(s) and/or insufficient/inadequate free credit balance available in clients broking account with Stock Broker.

H. Temporarily suspending or closing a client's account based at the client's request

- Any client desirous of temporarily suspending his/her/its trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked. Whenever trade has to be resumed in any suspended client account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.
- Similarly, any client desirous of closing his/here/its account permanently is required to inform in writing and

the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be reactivated and transaction will be carried out.

- Similarly, any client desirous of closing his/her its account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated. Only after scrutinising the compliance requirements and a “no pending queries” confirmation is taken, securities and funds accounts will be settled.

I. Deregistering a Client

Stock Broker may, at its sole and absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock Broker may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client’s name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client’s account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare his/her/its as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock Broker or may act as detriment to Stock Broker prospects.
- Under no circumstances, any action taken by Stock Broker in any of the above circumstances till the date of re-registration shall be challenged by the client and Stock Broker shall not be liable to the client for any loss or damage (actual), which may be caused to the client as a result.

J. Policy for Inactive clients

- Any client who has not traded in any segment of NSE/BSE with Stock Broker for last two year calculated from the beginning of every financial year then such client would be termed as a Dormant/Inactive Client.
- The broking account of such client shall be deactivated/suspended temporarily by the Stock Broker. If the client wants to activate the broking account then a request for reactivating the broking account should be sent in writing. Such request for reactivation should be accompanied along with such documentary evidence as may be specified by Stock Broker from time to time.
- If the client is tagged as a Dormant/Inactive client, then the funds/securities lying with Stock Broker may be refunded/returned to the clients at his/her/its last known bank account/DP account or send at last known address of the client as per Stock Broker record.

(8)

Client’s Signature_____

Place: _____

Date: _____

TARIFF SHEET

MANDATORY

CASH SEGMENT					
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
General Rates	15 rupees	0.10 %	0.10 %	30 rupees	0.50 %
Special Rates					

EQUITY FUTURES					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	0.10 %	0.10 %	0.10 %	0.10 %	0.10 %
Special Rates					

EQUITY OPTION					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	100 rupees	1.0 rupee	1.0 rupee	1.0 rupee	0.25 %
Special Rates					

CURRENCY FUTURES					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	20 rupees	0.50 %	0.50 %	0.50 %	0.05 %
Special Rates					

CURRENCY OPTION					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	20 rupees	0.25 %	0.25 %	10 rupees	0.25 %
Special Rates					

	NSE / BSE Cash	NSE F&O	NSE Currency	
Transaction charges	Rs. 3.25 / Lac Rs. 2.00 / Lac	Rs. 1.90 / Lac in Futures Rs. 50.00 / Lac in Options	Rs. 1.00 / Lac in Futures Rs. 50.00 / Lac in Options	
Sq. up Stamp Duty	Rs. 2.00 / Lac	Rs. 2.00 / Lac	Rs. 2.00 / Lac	
Del. Stamp Duty	Rs. 10.00 / Lac	N.A.	N.A.	
STT	Actual	Actual		
GST as Applicable	as applicable	as applicable	as applicable	

(9)



Client’s Signature

Authorised Signatory

X
Signature of Sub-broker /
Authorised Person / Introducer

CUSTOMER PROFILE

VOLUNTARY

Expected Investment / Trading Turnover on a Monthly Basis

<input type="checkbox"/> Upto 10 Lac	<input type="checkbox"/> 10 Lac	<input type="checkbox"/> More than 50 Lac
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Average Size of Transaction

<input type="checkbox"/> Upto 50 Thousand	<input type="checkbox"/> Rs. 50 Thousand to 1 Lac	<input type="checkbox"/> More Than 1 Lac
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Expected no. of Transaction on a monthly basis

<input type="checkbox"/> Upto 50 Thousand	<input type="checkbox"/> Rs. 50 Thousand to 1 Lac	<input type="checkbox"/> More Than 1 Lac
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Average Annual Income to be updated every year on the basis of information or documents to be obtain from clients	
Financial Year	Annual Income
2014-15	
2015-16	
2016-17	
2017-18	
2018-19	

Additional Information

1. Purpose of Opening the Account

- ☐ Investment
- ☐ Trading
- ☐ Arbitrage

2. Source of Funds for Trading / Investment

- ☐ Salary
- ☐ Business
- ☐ Inherited / Gift
- ☐ Investments
- ☐ Professional Fees
- ☐ Saving
- ☐ Others (Pls. Specify) _____

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003

RRS SHARES & STOCK BROKERS PVT LTD caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges.
RRS SHARES & STOCK BROKERS PVT LTD besides doing client based business also does its own investment and/or trading.

“Proprietary Trading Disclosure noted”

For RRS SHARES & STOCK BROKERS PVT LTD

Director/Authorised Signatory

Client Name :

Client Code :

Client's Signature:  (10)

TERMS AND CONDITIONS

VOLUNTARY

1. Authorisation for collection of AMC in respect of Demat A/c:

Client authorise RRS to debit Annual Maintenance Charges and all transaction charges payable by it in respect its Demat A/c with RRS to the broking account of the Client in any of the segments.

2. POA for Demat Account:

The Client agrees, on being requested by RRS, to open one or more Demat accounts with any Depository Participants designated by RRS and to execute a Power of Attorney in favour of RRS authorising it to operate such Demat accounts on behalf of the Client including to sign and issue Delivery Instruction Slips to transfer securities from the Demat account towards settlement/margin obligations of the Client and to pledge, sell, or dispose of otherwise, the securities given for margin.

3. Authorised Representatives: (In case of Non-Individuals only)

Any replacement of authorised representative shall be made by revoking the POA/letter of authority executed in favour of the authorised representative and executing a new POA or letter of authority in the manner above granting powers to the new Authorised representative and by no other means. If the Client executes a POA or a letter of authority in favour of a person without revoking the POA or letter of authority earlier executed in favour of another person, RRS may regard all such persons as authorised representatives of the Client.

4. Manner and Mode of placing orders/instructions:

The Client may communicate orders and other instructions to RRS or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through email, or by personally visiting the designated office. Client may use any one or more of these means for placing orders.

5. Non-execution/delay/cancellation of Orders:

The client hereby agrees that RRS or the Exchanges shall not be liable for non-execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of RRS or the Exchange. RRS does not guarantee cancellation or modification of any order requested by the Client. The order may be cancelled/modified only if the Client's request for cancellation/modification is received on time. i.e., during the pendency of the original order intended to be cancelled/modified and the original order is successfully cancelled/modified before it is executed.

6. Client to furnish additional information:

Client agrees and undertakes to furnish to RRS such additional information as may be necessary under the Rules, Regulations and Byelaws of the Exchanges, SEBI as may be in force from time to time or as may be required by any judicial, statutory, investigating, local or other authority, immediately on RRS making a request on the Client.

7. Pay-in of Funds & Securities:

RRS will receive and pay funds/securities only from/to the Bank a/c and the Demat a/c given by the Client in the Client registration form or from/to the A/cs subsequently in writing notified by the Client and accepted by RRS. RRS reserves the right not to accept funds/securities from Banks/Demat accounts other than those informed to RRS and RRS shall not be liable for any loss that may be occasioned due to RRS declining to accept funds/securities from unregistered accounts.

8. Disclosure as to Proprietary Trades by RRS:

RRS may carry out proprietary trades in addition to trades on behalf of its Clients.

9. Client's declaration: Client declares that:

- It is conversant with relevant laws, trade practices, rules, regulations, guidelines, circulars etc. prescribed by SEBI, the Stock Exchanges and other competent authorities in relation to trading and transactions in the Securities Market and matters incidental or ancillary thereto and undertakes to acquaint itself with any modifications/changes brought about therein from time to time.
- It shall not give any third party shares or cheques in discharge of its settlement obligations.
- It will not indulge in any manipulative, fraudulent and/or unfair trade practices including but not limited to trades such as synchronised deals, structured deals, circular trading in the capital market and futures and option segments.

10. In the event Client is found to have indulged in any manipulative, fraudulent and/or unfair trade practice or to have committed a breach of the applicable laws, regulations, guidelines, Bye-laws, by acts or omissions, whether directly or indirectly, Client shall be held solely liable for the legal and financial consequences thereof which may include penalties, restrictions or prohibitions or such other actions by appropriate authority.

11. Severance:

In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

12. No Waiver:

No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specified agreed in writing.

13. Electronic Contract Note (ECN):

The Client understands that it can have Contract Notes for the trades executed delivered by RRS in Electronic/ Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorising RRS in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent. For availing of this service, the Client shall sign and issue a mandate in the prescribed form authorising RRS to issue Contract Notes in digital form instead of in physical form. Client understands and agrees that delivery of Contracts Notes in digital form shall be subject to the following terms:

- (i) The Client shall access and verify the ECN and all information contained therein shall be binding, if the Client does not raise any objections as to the accuracy of its contents or notify any discrepancy therein, either in writing or via E-mail, preferably within 24 hours the ECN is received. The Client will be required to save/print/download the ECN for archiving and delete the e-mails from his e-mail account on a regular basis so as to keep sufficient space in the e-mail account to continue receiving ECN from RRS. The ECN shall be deemed to have been delivered to the Client, if RRS does not receive a rejection or bounced mail notification.
- (ii) RRS shall also publish the Contract Note on the Web site www.rrs.in or on any other designated location specified by RRS from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. The Client shall take all necessary steps to ensure clauses hereinafter contained governing user name and password for facilitating net banking services through the Electronic Payment Gateway shall mutatis mutandis apply to the use of Login Name and Password allotted to the Client for accessing ECN on the website of RRS.
- (iii) Should the Client experience any difficulty in opening the ECN, RRS may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy).

14. Electronic Transmission of other Documents:

The Client agrees that RRS may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls and other notices/ communications in electronic mode either at the e-mail ID designation for delivery of ECN or to the mobile number of the Client or both and, by so transmitting, RRS shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies, if any, in the ECN should be brought to the notice of RRS within preferably 24 hours of issuance receipt of ECN.

15. Electronic payment Gateway for Net Banking Services:

RRS may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with RRS. Client understands that RRS is only providing access to the electronic fund transfer facility provided by the banker of the Client through RRS's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make RRS a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that RRS's liability shall at all time be limited to the amount actually received in its account by electronic

transfer from Client's account with the Bank.

16. Internet / Wireless Technology based Trading facility:

RRS offers Internet and mobile trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as "the Internet/Wireless Trading system") through Exchange approved software. The Client can route its orders to RRS over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail such Trading facility provided by RRS by complying with the formalities prescribed therefor.

- 16.1** Username and Password: On opting to avail Internet/Wireless Trading facility, the Client shall be provided a username and password transmitted to it over email at the designated email ID which will enable it secured access to RRS's Trading facility.
- 16.2** The Client is aware that the initial password is System generated and agrees and undertakes to immediately change it upon receipt. The Client understand that the initial and subsequent passwords are not known or available to RRS.
- 16.3** The Client agrees and undertakes:
- (i) To download the software required for Internet/Wireless Technology based Trading facility on to the Computer or Mobile as the case may be from RRS's Website using the specified URL.
 - (ii) To use compatible computer hardware/mobile and system software and/or upgrade them to compatible versions for Internet/Wireless Technology based Trading facility software to function satisfactorily.
 - (iii) To commit the password to memory and not to record it in any written or electronic form;
 - (iv) Not to let any unauthorized person gain access to the computers or leave the computer unattended while remaining logged on to the internet/wireless trading system and to log off from the Internet/Wireless Trading System as and when the trading session ends;
 - (v) To change the password at frequent intervals;
 - (vi) To notify RRS if it receives inaccurate information regarding the account balances, investment products position or transaction history, or notices such other discrepancies in the account that might be attributable to unauthorized access.
- 16.4** Client to change Password: If the Client is unable to change the Password by reason of the Client having forgotten the Password or the Password having been unauthorizedly changed by some other person or for any other reason, then the Client shall immediately request RRS in writing to discontinue the old Password, and thereupon, RRS shall deactivate the old Password and communicate to the Client a new system generated Password.
- 16.5** Clients opting for Internet/Wireless Trading Facility to compulsorily opt ECN: If the Client elect to transact using Internet / Wireless facility, it shall compulsorily opt for receiving contract notes electronically (ECN) and comply with the formalities required for ECN and also notify its mobile number to RRS. If unable to open any of the documents, it shall inform RRS and follow advice given by RRS to resolve the problem.
- 16.6** Non-usage of Internet/Wireless Trading facility: if the Client does not use the Internet/Wireless Trading facility for a continues period of 3 months or such other period as RRS may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of RRS.
- 16.7** The client understands and agrees that RRS has different product versions of the Internet Trading/Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product version that it may choose while signing these documents. The client also understands and agrees that depending on the trading activity of the client, RRS shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/ Wireless Trading facility.
- 16.8** Orders of Client subject to review by RRS: The Client agrees that the RRS may, at its sole discretion, subject any order placed by a Client through the internet/wireless trading system to manual review any entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.
- 16.9** Copy Righ/Internet/Trading/Wireless Technology: The Client agrees that the software underlying the Internet Trading/Wireless Technology System which is required for accessing the Internet Trading/Wireless Technology facility are the legal property of RRS and the Client shall not attempt to modify, translate, disassemble, decompile or reverse engineer the software underlying the service. The permission given by RRS to the Client to use the Internet Trading/Wireless Technology System shall not convey any proprietary/ownership

rights in the above software to the Client.

17. Data Security and maintenance of equipments:

The use and storage of any information including, without limitation, the passwords or digital signatures, portfolio information, transaction details, account balances and any other transaction details or trade information as the case may be on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility. Client is also responsible for maintenance and upkeep of the personal computer, modem, communication equipment and telephone or other services required for accessing and using the internet trading facility of RRS and for all communications service fees and charges incurred by the Client in that connection.

18. Extra Ordinary Events and termination/suspension of trading facility:

RRS will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond RRS's control, resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any RRS may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

19. Remit Funds payout electronically into client's bank account:

Notwithstanding anything contained in these documents and without prejudice to the rights and obligations of the parties inter se, the Client, hereby agrees and authorises RRS to transfer funds due for payment to the Client through Net Banking/EFT/RTGS/NEFT for the credit of designated bank account(s) of the Client details of which are given by it to RRS. Client shall also give RRS a cancelled cheque leaf of the designated Bank account for this purpose. Client agrees that it shall not hold RRS liable if any fund is credited to wrong account(s) as a result of Client providing incorrect account details to RRS. RRS reserves the right to reject request of the Client for electronic fund transfer or to discontinue the facility without assigning any reason. The Client also understands and agrees that RRS shall not be responsible for any delay/failure in transmission of electronic payout of funds due to any reason beyond its control and undertake to not hold RRS liable in this regard.

20. SMS Alert facility by CDSL:

If the Client opens Demat A/c. with RRS and agrees to receive the SMS Alert from CDSL, the Client agrees to the following terms and conditions of CDSL:

- i. The client who wished to avail the SMS Alerts facility provided by the depository on mobile number provided in the registration form is subject to the terms and conditions mentioned below.
- ii. Also consents to CDSL providing to the service provider such information pertaining to account/transaction in his/her account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
- iii. The client 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.
- iv. The client is also 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.

21. Mandate for CDSL BO A/c :

I authorise you to send my purchased securities to my CDSL BO A/c opened with RRS Shares & Stock Brokers Pvt Ltd. and mark my present Demat A/c as inactive for sending pay out of securities. You are authorised to change my master particulars in trading account demat particulars without my authentication.

For **RRS SHARES & STOCK BROKERS PVT LTD.**

(11)

Client's Signature _____

Authorised Signatory

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

VOLUNTARY

From: _____

Date: _____

To,

Dear Sirs,

I am / We are regularly Trading with you for Cash and Derivative Market in NSE/BSE. I /we hereby authorized you to do following on my /our behalf:

- ☐ I/We hereby give my/our consent to maintain my/our account for fund and securities as RUNNING ACCOUNT
- ☐ The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits
- ☐ I/We request you to keep my/our Securities, Margin and funds with you to meet my/our pay in obligation in the Succeeding settlements in the same segment as well as other segments of NSE/BSE
- ☐ The actual settlement of funds & Securities shall be done by you every **Monthly/Quarterly** interval. You will preferably send quarterly/ monthly statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 7 working days from the receipt of Statements
- ☐ You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
- ☐ I/We have noted the following :-
 1. This running account authorization will continue until it is revoked by me.
 2. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person.
 3. I/we may revoke the authorization at any time by giving written notice.

Yours faithfully,

(12)

Signature of Client: _____

Name of the Client: _____

Client Code: _____

NSE - MFSS Facility
(Letter to be provided by the Investor to the Participant)

VOLUNTARY

Date: _____

To,

RRS SHARES & STOCK BROKERS PVT LTD
24/B, Raja Bahadur Mansion-II, 114,
Raja Bahadur Compound, 114, Ambalal
Doshi Marg, Fort, Mumbai - 400 001.

Sub: Mutual Fund Service System (MFSS) facility

I/We _____ am/are registered as your client with Client Code No. _____ and have read rights and obligations as provided to me for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated 24 November 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, agenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/ redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,

Yours faithfully

(13)



(Client Signature)

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

- 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 1.4. The Client has approached to the Participation with the application for availing the New MFSS facility.
- 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants

2. Terms and Conditions

- 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
- 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
- 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 2.9. In the event of nonperformance of the obligation by the Participants, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Client Code :

Client Name :

Date :

AUTHORISATION LETTER**VOLUNTARY**

(Please be informed and note that these additional clause(s) / documentation(s) are voluntary and at the discretion of the client. They are required to ensure smooth relationship on a day to day basis between the broker and the client. The client need not execute this document if he / she do not wish to. The client has the right to ignore the document)

RRS SHARES & STOCK BROKERS PVT LTD

24/B, Raja Bahadur Mansion-II, 114,
Raja Bahadur Compound, 114, Ambalal
Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

Re: Letter for Authorised Signatories

Kindly find below as list of authorized signatories to represent us, their authority but restricted to :

1. Acknowledging contract notes issued by you to us for our trades.
2. All other communication from your good self to me / us.
3. I/ We also authorize you to debit the necessary demat charges from time to time.
4. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.

S. No.	Name of the Signatory	Signature	Relation, if any

Thanking you,

Signature of the Client: ⁽¹²⁾ 

Place: _____ Date: _____

FOR NRI / FN**VOLUNTARY**

Name: _____

Address: _____

TO WHOMSOEVER IT MAY CONCERN

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-resident or vice versa, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature 

Name: _____



CDSL DEMAT ACCOUNT FORM

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT

(To be filled by the Depository Participant)

Application No.		Date	
DP Internal Reference No.			
DP ID	12029000	Client ID	000

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

HOLDER DETAILS

Sole / First Holder’s Name	
PAN	UID
Second Holder’s Name	
PAN	UID
Third Holder’s Name	
PAN	UID

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

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status	Sub Type
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director’s Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual Margin Trading A/C (MANTRA) <input type="checkbox"/> Others (specify) <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> NRI-Repatriable Promoter <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others(specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign - National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify)

Details of Guardian (in case the account holder is minor)

Guardian’s Name	PAN
Relationship with the applicant	

STANDING INSTRUCTIONS

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be ‘Yes’)	<input type="checkbox"/> Yes <input type="checkbox"/> 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’)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly

I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID:

YesNo

I/We would like to share the email ID with the RTA

YesNo

I/We would like to receive the Annual Report

Physical /

Electronic /

Both Physical and Electronic

 (Tick the applicable box. If not marked the default option would be in Physical)

I/We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be `Yes`) [ECS is mandatory for locations notified by SEBI from time to time]

YesNo

Bank Details (Dividend Bank Details) MICR code starting with 000 will not be eligible for ECS.

Bank Code (9 digit MICR code)	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
IFS Code (11 character)	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
Account number	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
Account type	<div><div><div></div>Saving</div><div><div></div>Current</div><div><div></div>Cash Credit</div><div><div></div>Others (specify)</div></div>
Bank Name	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
Branch Name	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
Bank Branch Address	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
City	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
State	<div><div></div><div></div><div></div><div></div><div></div><div></div></div>
Country	<div><div></div><div></div><div></div><div></div><div></div><div></div></div>
PIN	<div><div></div><div></div><div></div><div></div><div></div><div></div></div>

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

Upto Rs. 1,00,000/-

Rs. 1,00,001/- to Rs. 5,00,000/-

Rs. 5,00,001/- to Rs. 10,00,000/-

Rs. 10,00,001/- to Rs. 25,00,000/-

Above Rs. 25,00,001/-

Net worth as on Date: Rs. (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details)

Private Sector

Business

Housewife

Public Sector

Student

Others (Specify)

Government Service

Agriculturist

Retired

3. Please tick, if applicable

Politically Exposed Person (PEP)

Related to a Politically Exposed Person (RPEP)

4. Any other information

NA

SMS Alert Facility

☐ Yes Refer to Terms & Conditions given as Annexure-2.4

☐ No

I/We provide the following information for the purpose of availing SMS Alert facility

Mobile Number on which Messages are to be sent

+91

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

[(Mandatory , if you are giving Power of Attorney (POA)]
(if POA is not granted & you do not wish to avail of this facility, cancel this option).




Electronic Access To Securities Information “easi”

Subscription to CDSL’s Internet-Based Service “easi”

☐ Yes 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.

☐ No

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/ We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	 (14)		

(Signatures should be preferably in black ink). (In case of more authorised signatories, please add annexure)

Demat Account type Opted

Account Type	First/Sole Holder	Second Holder	Third Holder
BSDA ***			
NON BSDA			

*** Please read the Tariff Sheet before Opting.



RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

General Clause

- 1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, EBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
- 2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

- 3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
- 4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

- 5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
- 6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
- 7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

- 8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

- 9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
- 10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

- 11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
- 12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

- 13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
- 14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
- 15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.

(16)

First/Sole Holder



Second Joint Holder



Third Joint Holder

16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/ or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996, 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/ Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/ notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

(17)



First/Sole Holder



Second Joint Holder



Third Joint Holder

VOLUNTARY

POWER OF ATTORNEY

To all to whom these presents shall come I/We _____ having UCC _____ send greetings. Whereas I/ we hold beneficial owner account with Central Depository Services (India) Limited (CDSL), through **RRS SHARES & STOCK BROKERS PVT LTD** bearing DP ID: **IN29000**.

And Whereas I/ we am/ are desirous to buy and sell securities through **RRS SHARES & STOCK BROKERS PVT LTD** (hereinafter referred to as "Stock Broker") having its office at **24/B, RAJA BAHADUR MANSION-II, 114, RAJA BAHADUR COMPOUND, AMBALAL DOSHI MARG, FORT, MUMBAI-400001** member of Bombay Stock Exchange Limited and National Stock Exchange Of India Limited, bearing SEBI registration No.: **INZ000257533**

Now know you all and these present witness that I/ we do hereby nominate, constitute and appoint Stock Brokers as my true and lawful attorney and authorize it to perform the following functions on

My / our behalf:

- i. To transfer / pledge securities held in my /our aforementioned beneficial owner account(s) or any other account informed by me in writing, to the demat accounts of the stock broker [as specified in Annexure B] or demat accounts of the stock broker maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker. However, the said power will be restricted to transfer of securities to the Clearing Member ID allotted to the stock broker by any existing or future exchange that the stock broker has joined/ will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client registration/ segment activation document(s) with the stock broker for such exchanges.
- ii. To pledge the securities in favor of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker. I/ we understand that the stock broker may further re-pledge the said securities to its clearing member or clearing corporation towards my margin/ pay-in/ exposure or such other liability as may arise from time to time on account of my trades/ positions.
- iii. To return to me/us, the securities that may have been received by the stock broker erroneously or those securities that the stock broker was not entitled to receive from me/us;
- iv. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- v. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers, buy back etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice) in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office.

SIGNED AND DELIVERED By the within named Beneficial Owner

	First/ Sole Holder (for and on behalf of the BO)	Second Joint Holder	Third Joint Holder
Specimen Signature			

Annexure A: BO Details

First / Sole Holder Name		If HUF, Co-parceners Signature: 1) _____ 2) _____ 3) _____ 4) _____ 5) _____
Second Holder Name		
Third Holder Name		
BO ID	12029000_____	
Address		

Annexure B Demat Account of Stock Brokers

Name of Exchange	Demat Account Number	Type of Accounts
NSE - NSDL	IN300126 -10000107 CM BP ID NSE - IN504759	CM Pool
NSE - CDSL	1202900000048201	CM Pool SLB
NSE - CDSL	1202900000047991	CM Pool
BSE – CDSL	1202900000046001	Principal
BSE - CDSL	1202900000046033	CM Pool
BSE - NSDL	IN300126 -11276514 CM BP ID BSE - IN667266 (BUYBACK / OFSS)	CM Pool
NSE / BSE - CDSL	1202900000047018	Corporate – TM/CM CMPA
NSE / BSE - NSDL	IN301348-20154939	Corporate – TM/CM CMPA
NSE –CDSL	1100001100021121	CM EARLY PAYIN

	First/ Sole Holder	Second Joint Holder	Third Joint Holder
Signature			

Witness 1:

Name:	Address:
Sign:	

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

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.

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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).

BOID

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder’s Name : _____

Second Holder’s Name : _____

Third Holder’s Name : _____

Mobile Number on which messages are to be sent

1	2	0	2	9	0	0	0								
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: _____

Email ID: _____
(Please write only ONE valid email ID on which communication; if any, is to be sent)

+91										
-----	--	--	--	--	--	--	--	--	--	--

(25)

Signatures

Sole / First Holder

Second holder

Third Holder

Place: _____Date: _____

CHARGES OF THE DEPOSITORY SERVICES (CDSL) - DP ID 29000

	Individual – BSDA	Individual – Non BSDA	NON Individual
1. Account Opening	NIL	NIL	NIL
2. Annual Maintenance	NIL Upto 50000 Rs.100/- (Value of holding from Rs 50,001/- to Rs.200,000/-) Rs500/- above 200000/-	Rs 500/-	Rs 1000/-
3. Dematerialisation	Rs. 25/- Per Certificate, Plus Rs. 100/- Per Request	Rs. 10/- Per Certificate, Plus Rs. 50/- Per Request	Rs. 10/- Per Certificate, Plus Rs. 50/- Per Request
4. Rematerialisation	1 % of the market value of the securities	0.12% of the market value of the securities	0.12% of the market value of the securities
5. Transaction SELL	1) Rs. 100/- per ISIN	1) Rs. 25/- per ISIN 2) Rs. 15/- per ISIN for POA given to RRS	1) Rs. 25/- per ISIN 2) Rs. 15/- per ISIN for POA given to RRS
6. Transaction BUY	NIL	NIL	NIL
7. Pledge Creation	Rs.100/- per ISIN	Rs.50/-	Rs.50/-
8. Pledge Confirmation	1% of the value	0.05% of the value	0.05% of the value
9. Pledge Closure	Rs.100/- per ISIN	Rs.50/-	Rs.50/-
10. Pledge Closure Confirmation	1% of the value	0.05% of the value	0.05% of the value
11. Margin Pledge	Rs.50/-	Rs.15/-	Rs.15/-
12. Margin Unpledge	Rs 50/-	NIL	NIL
13. Margin Repledge / Unrepledge	NIL	NIL	NIL

CONDITIONS:

- Customers who have a relationship with RRS SHARES & STOCK BROKERS PVT. LTD. will provide a debit authorization for the recovery of services charges from any receivables.

COMMON CLAUSES:

- The fees include the depository charges wherever applicable charges/service standards are subject to revision at the RRS SHARES & STOCK BROKERS PVT. LTD. sole discretion and as informed by circulars sent by ordinary post.
- Value of the transaction will be accordance with rates provide by CDSL.
- All charges will be payable monthly except for Account Maintenance Charges which are payable annually in Advance. If the value holding in BSDA exceeds the prescribed holding criteria at any date, tariff structure would be applicable from that date onwards.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately. GST will be charged as per applicable rates.
- Operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designed branch or regd. office at least 24 hours before the execution date. For late instructions the services standards and charges are as under.

To,

RRS SHARES & STOCK BROKERS PVT. LTD. DP ID: 29000

I/We do hereby agree to the above mentioned charges, terms & conditions and OPT for **BSDA / NON BSDA** Account

I/We hereby authorize the following persons to collect my/our Transaction Statements, Instruction slips, all correspondence, Bills for Depository charges, etc. Kindly deliver all my/our above documents to them or the persons being authorized by them. The details about the name, signatures and initials of the said persons are as below.

S. No.	Name	Signature	Initials

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Sign First Holder / Authorise Signatory

Sign Second Holder / Authorise Signatory

Sign Third Holder / Authorise Signatory

Confirmation of Receipt of executed documents

Client Code: _____

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Account Opening Form, Rights and Obligations, RDD, Policies and Procedures and all other mandatory & voluntary documents as executed by me/us.

Signature of Client: ⁽²⁷⁾
 _____

Name of the Client :	
Equity/Cash Trading No. (UCC)	

DOCUMENT OF RIGHTS AND OBLIGATIONS OF THE CLEARING MEMBER/PARTICIPANT AND ITS CLIENT IN RELATION TO THE SECURITIES LENDING AND BORROWING SCHEME

1. The Securities and Exchange Board of India (“**SEBI**”) has formulated and issued the Securities Lending Scheme, 1997 (“**SEBI Scheme**”) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an “Approved Intermediary” registered with SEBI.
2. The National Securities Clearing Corporation is an Approved Intermediary (“**AI**”) registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as “**SLBS**”) for facilitating lending and borrowing of securities through persons registered as “Participants”.
3. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 (“**SEBI Circular**”) has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant (“**Agreement**”) for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant (“**Participant**”). The said Agreement shall also define the exact role of AI/Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client (“**Rights & Obligations Document**”).
4. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
5. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement

and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.

6. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
7. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
8. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

RIGHTS OF THE PARTICIPANT

9. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.
10. Margins
The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from time to time.
11. Recovery
The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

OBLIGATIONS OF THE PARTICIPANT

12. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.

13. Issue of Confirmation Memo
The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.
14. Money / Securities to be kept in separate account
The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.
15. Update on Settlement Process
The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.
16. Compliance with Know Your Client Norms
The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person / authority except to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.
17. Reconciliation of Account
The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.
18. Return of Securities and Lending Fees
Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -
a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.
b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.
19. Delivery of Securities
Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –
The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

RIGHTS OF THE CLIENT

20. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -
- a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive lender's fee for the securities lent.
21. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -
- a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
 - b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.
22. Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

OBLIGATION OF THE CLIENT

23. Abide by Law & Acquaintance to Law
The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.
24. Update & Comply with the Settlement Process
Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.
25. Processing Charges
The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

26. Change in Client Registration Form
The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.
27. Authorised Representative
The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.
28. Return of Securities
The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.
29. Payment of Margins
The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.
30. Exposure / Position Limits
The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.
31. Securities lent to be Unencumbered
The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.
32. Collateral
At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.
33. Insolvency
The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.
34. Cancellation of Transactions
Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

35. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

ARBITRATION


36. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

37. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

GOVERNING LAW AND JURISDICTION

38. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

39. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

Signature of Client :	 (33)
Equity/Cash Trading No. (UCC)	
Permanent Account Number (PAN):	
Name of the Client :	

Date:

To,

RRS Shares & Stock Brokers Pvt Ltd.

Mumbai

Dear Sir,

I _____(name of the applicant) the undersigned, hereby undertake and declare that I do not have a separate email id/mobile number and request you to record the email id/ mobile number of my _____ (relation) _____.(name of the family member) for Cdsl Boid..... and trading UCC_____, as my email id/ mobile number for all the future correspondence.

Thanking You.

Your's Faithfully,

Email Id :

Mobile No :

Nomination Form

Nominee Registration No	Dated

RRS SHARES & STOCK BROKERS PVT.LTD. 24-B, Ambalal Doshi Marg, 114, Rajabhadur Mansion, Rajabhadur Compound, Fort, Mumbai – 400 023. Depository Services DP ID: 29000 SEBI REGN.NO.: IN-DP-CDSL-195-2002 NSE / BSE SEBI REG NO : INZ0000257533	FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>		
Date D D M M Y Y Y Y	DP ID 1 2 0 2 9 0 0 0	Client ID 0 0 0 	
<div style="border: 1px solid black; display: inline-block; padding: 2px 10px;">UCC</div>			
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 the assets held in my / our account in the event of my / our death.			
Nomination can be made upto 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 <small>[If not equally, please specify percentage]</small>	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>			
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] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> 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 n o . of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)				Signature(s) of holder*
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

* 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.

Acknowledgemnt

Received Nomination Form

DP ID	1	2	0	2	9	0	0	0	CLIENT ID	0	0	0					
UCC																	
NAME																	
FIRST NOMINEE																	
SECOND NOMINEE																	
THIRD NOMINEE																	
REG NO																	

FOR RRS SHARES & STOCK BROKERS PVT LTD

AUTHORISED SIGNATORY

Declaration Form for opting out of nomination

										Nominee Registration No				Dated			
To					Date		D	D	M	M	Y	Y	Y	Y	Y	Y	
RRS SHARES & STOCK BROKERS PVT.LTD. 24-B, Ambalal Doshi Marg, 114, Rajabhadur Mansion, Rajabhadur Compound, Fort, Mumbai – 400 023. Depository Services DP ID: 29000 SEBI REGN.NO.: IN-DP-CDSL-195-2002 NSE / BSE SEBI REG NO : INZ0000257533																	
DP ID					1	2	0	2	9	0	0	0	0	0	0	0	
Client ID (only for Demat account)					0	0	0										
UCC																	
Sole/First Holder Name																	
Second Holder Name																	
Third Holder Name																	
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demataccount 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.																	
Name and Signature of Holder(s)*																	
1. _____ 2. _____ 3. _____																	

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

Acknowledgemnt

Received Nomination Opt Out Form

DP ID	1	2	0	2	9	0	0	0	CLIENT ID	0	0	0					
UCC																	
NAME																	
REG NO																	

FOR RRS SHARES & STOCK BROKERS PVT LTD

AUTHORISED SIGNATORY