

FORM NO. _____

Bagged NSDL Best Performer in Account Growth Rate (Big DP)
consecutively for 7 Year in 2013, 2014, 2015, 2016, 2017, 2018 & 2019

CLIENT REGISTRATION FORM

In-Person Verification



Client Name

Code By Sign

Name of the Employee/AP/SB

Date Place

Name of the Service Centre

FOR OFFICE USE ONLY

UCC		Account Opening Date	
Client ID		Code	
Name			
Branch			
Sub-group			
Region			
Zone			

CONTACT DETAIL FOR INVESTOR GRIEVANCES

For any grievance/dispute please contact R K Global Shares & Securities Ltd. at the above address or email id: grievances@rkglobal.in. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	E-mail ID	Phone No.	
National Stock Exchange Of India Ltd.	ignse@nse.co.in	1800-266-0058	
Bombay Stock Exchange Ltd.	is@bseindia.com	022-22728517	
The Multi Commodity Exchange of India limited (MCX)	grievance@mcxindia.com	022-6731 8888	
Metropolitan Stock Exchange of India Limited	investorcomplaints@msei.in	022-61129069	
Depository	Website	Phone No.	E-mail ID
NSDL	www.nsdl.co.in	022-24994200	relations@nsdl.com

➤ You can lodge your grievances with SEBI at <http://scores.sebi.gov.in> for any queries, feedback or assistance, please contact SEBI office or toll free Helpline at 1800-22-7575 / 1800-266-7575

Filing of complaints on SCORES-Easy & Quick

- Register on SCORES portal
- Mandatory details of filling complaints on SCORES:
 - Name, Pan, Address, Mobile Number, Email id

c-Benefit:

- Effective Communication
- Speedy redressal of the grievances

DECLARATION FOR PRO TRADING

We R K Global Shares & Securities Ltd., hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own account.

Note :

The information to be given in the form, is the sole property of the Member Broker and would not be disclosed to anyone unless required by law/statutory/regulatory authorities or except with the express permission of the client.

ACKNOWLEDGEMENT

R K Global Shares & Securities Ltd

I / we hereby acknowledge the receipt of copy of Rights and Obligations, Risk Disclosure Documents(RDD), Policies & Procedures, Rights and Obligations of the Beneficial Owner and Depository Participant, Schedule of Service Charges, Account opening form and all Other Documents as executed by me/us, to open demat &/or trading account in equity & derivative / or commodity segment/exchanges.

Trading Code _____ Client ID : _____

Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature			
Name			

* Please stamp & Sign in case of Non-Individual Account ** In case of Joint holding, all joint holders must sign.

Date:

CIN No.: U99999MH1995PTC174185

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

Name of Clearing Member (For NSE-F & O, NSE-Currency, BSE-F&O, BSE Currency Segments, MSEI Currency, MCX) :
SMC Global Securities Ltd. SEBI Regn. No. and Date : INZ000199438 Date: 12/09/2018

CEO Name: Mr. Raghav Bhagchandka | Email: raghav@rkglobal.in | Contact: +91-11-4310 0999

Compliance Officer Name: Mr. Sushil Kumar Dhancholia | Email: skd@rkglobal.in | Contact: +91-11-4310 0999

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021. | Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Website: www.rkglobal.net

Corp. Office: Flat No.5, Sagar Apartment, 6 Tilak Marg, New Delhi-110001. | Phone: +91-11-4310 0999 | Fax: +91-11-2338 5640 | Website: www.rkglobal.net

Name of Stock Broker / Trading Member / Clearing Member : R K Global Shares & Securities Ltd.

EXCHANGE NAME	SEGMENT	SEBI REGISTRATION NO.	DATE
National Stock Exchange of India Ltd.	Cash	INZ000187132	30/07/2018
National Stock Exchange of India Ltd.	F & O	INZ000187132	30//07/2018
National Stock Exchange of India Ltd.	Currency	INZ000187132	30//07/2018
National Stock Exchange of India Ltd.	Commodity	INZ000187132	30//07/2018
BSE Limited	Cash	INZ000187132	30//07/2018
BSE Limited	F & O	INZ000187132	30//07/2018
BSE Limited	Currency	INZ000187132	30//07/2018
BSE Limited	Commodity	INZ000187132	30//07/2018
MCX Exchange Limited	Commodity	INZ000187132	14//03/2022
Metropolitan Stock Exchange of India Ltd.	Currency	INZ000187132	30//07/2018

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
SECTION – A (MANDATORY DOCUMENTS)			
1.	Account Opening Form	A. KYC Form - Part-I Document captures the basic information about the constituent and an instructions / checklist (to be sent to KRA)	1 to 5
		B. KYC Form - Part-II Document captures the additional information about the constituent relevant to trading account and Demat account.	6 to 16
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4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s) (to be added by the stock broker).	21
5.	MITC	Most Important Terms and Conditions (MITC)	38
6.	Policies and Procedures	Document describing significant policies and procedures of the Member Broker.	44 to 48
7.	Rights and Obligations	Document stating the Rights & Obligations of Stock Broker / Trading Member, Authorised Person and client for Trading on exchanges (including additional Rights & Obligations in case of Internet/Wireless Technology based Trading).	49 to 52
8.	Risk Disclosure Document (RDD) - Equity & Derivative Trading	Document detailing Risks associated with dealing in the Securities Market.	53 to 55
9.	Guidance Note	Document detailing do's and don'ts for Trading on exchange, for the education of the investors.	56
10.	Rights and Obligations of Members, Authorised Persons and Clients – Commodity Trading	Document stating the Rights and Obligation of Member, Authorised person & Client for Trading on the Exchanges (including additional right and Obligation in case of Internet/ wireless technology based Trading)	57 to 62
11.	Risk Disclosure Document (RDD) – Commodity Trading	Document detailing risks associated with dealing in the commodities market.	63 to 65

12.	Guidance Note	Document detailing Do's and Don'ts for trading on Exchanges, for the education of the investors – Commodity Trading.	66 to 67
13.	Rights and Obligations (DP)	Document stating the Rights and Obligations of Depository Participant and Beneficiary Owner	70 to 71
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15.	DDPI	Demat Debit Pledge Instruction (DDPI) Authorisation	24 to 25
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17.	Schedule of Charges	Schedule of Service Charges for DP	27
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19.	Open Interest Declaration	Open Interest Declaration (Commodity Market).	29
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25.	Policy on Handling of GTC Order	Document stating the Policy on Handling of Good till Cancel Order.	68 to 69
26.	Investor Charter	Investor Charter and disclosure by Stock Brokers & Depository Participant for clients	72 to 88
27.	UBO/FATCA -NonIndividual/Policy For Voluntary Freezing	Voluntary Freezing/Un-Freezing the Online Access of the Trading Account	89 to 93

I/We have fully understood the distinction and details regarding the Mandatory/Non-Mandatory documents and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any agreement(s)/document(s) or clauses within any Non-Mandatory agreement(s)/document(s) under any circumstances what so ever.

Signature of Client



RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to ₹ 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source:

- SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment", wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F&O during FY 2021-22.

I have read and understood the above-stated Risk Disclosure and acknowledge the same.

Signature of Client



KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

CIN No.: U99999MHI995PTCI74185

Registered Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Website: www.rkglobal.net

Corporate Office: Flat No.5, Sagar Apartment, 6 Tilak Marg, New Delhi-110001.

Phone: +91-11-4310 0999 | Fax: +91-11-2338 5640 | Website: www.rkglobal.net

Application Number :

Application Type*: ☐ NEW KYC
☐ Modification KYC

1. Please fill the form in ENGLISH and in BLOCK LETTERS. 2. Field marked* are mandatory.

3. Field marked + are pertaining to CKYC and mandatory only if processing CKYC

KYC MODE*: Please Tick (✓)

☐ Normal☐ EKYC OTP☐ EKYC Biometric☐ Online KYC☐ Offline EKYC☐ Digilocker**I. IDENTITY DETAILS** (Please refer guidelines overleaf)

PAN*

Please enclose a duly attested copy of your PAN Card

Name* (Same as ID Proof)

Mainden Name* (if any)

Fathers/Spouse's Name*

Mother Name

Date of Birth*

Gender*

☐ Male☐ Female☐ Transgender

Marital Status*

☐ Single☐ Married

Nationality*

☐ Resident Individual☐ Non Resident Indian☐ Foreign National☐ Person of Indian Origin

please tick(✓)

(Passport mandatory for NRIs, PIOs and Foreign Nationals)

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)☐ A — Aadhaar Card☐ B — Passport Number☐ C — Voter ID Card☐ D — Driving License☐ E — NREGA Job Crd☐ F — NPR☐ Z — Others

Identification Number

(Expiry Date) _____

(Expiry Date) _____

(any document notified by Central Government)

Photograph

Please affix your recent
passport size photograph

Signature Across photograph

2. Address Details* (please refer guidelines overleaf)**A. Correspondence/Local Address***

Line 1*

Line 2

Line 3

City/Town/Village*

District*

Pin Code*

State*

Country*

Address Type*

☐ Residential/Business☐ Residential☐ Business☐ Registered Office☐ Unspecified

Applicant e-SIGN

B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1*

Line 2

Line 3

City/Town/Village* District* Pin Code*

State* Country*

Address Type* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* (attested copy of any I POA for correspondence and permanent address each to be submitted)

- ☐ A — Aadhaar Card
- ☐ B — Passport Number (Expiry Date)
- ☐ C — Voter ID Card
- ☐ D — Driving License (Expiry Date)
- ☐ E — NREGA Job Crd
- ☐ F — NPR
- ☐ Z — Others (any document notified by Central Government)
- Identification Number

3. Contact Details

Email ID

Mobile No.

Tel. (Off.) Tel. (Resi.)

4. 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/KRA Agencies/R K Global Shares & Securities Ltd. (RKGSSL) through SMS/Email on the above registered number /email address. I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Date:

Place:

Applicant e-Sign

Applicant Wet Signature

5. For Office Use Only**In-Person Verification (IPV) carried out by***

IPV Date

Emp. Name

Emp. Code

Emp. Designation

Intermediary Details

☐ Self Certified document copies received (OVD)

☐ True Copies of documents received (Attested)

Institution Name:

Institution Code:

PART I - KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)**CIN No.: U99999MH1995PTC174185****Registered Office:** 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Website: www.rkglobal.net

Corporate Office: Flat No.5, Sagar Apartment, 6 Tilak Marg, New Delhi-110001.

Phone: +91-11-4310 0999 | Fax: +91-11-2338 5640 | Website: www.rkglobal.net

Acknowledgement No.

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS

☐ 1.	Name of the Applicant			
☐ 2.	Date of Incorporation		Place of incorporation	
☐ 3.	Date of commencement of business			
☐ 4.	a) PAN		b) Registration No. (e.g. CIN)	
☐ 5.	Status (please tick any one) ☐ Private Limited Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust ☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body ☐ Non-Government Organization ☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP ☐ Others (please specify) _____			

B. ADDRESS DETAILS

☐ 1.	Address for Correspondence			
	City/Town/Village		PIN Code	
	State		Country	
☐ 2.	Contact Details	Mobile No.*	E-mail ID*	
		Tel. (Off.)	Tel. (Res.)	Fax No.
☐ 3.	Specify the proof of address submitted for correspondence address			
☐ 4.	Registered Address			
	(if different from above)	City/Town/Village	PIN Code	
		State	Country	
☐ 5.	Specify the proof of address submitted for Registered address			

C. OTHER DETAILS

☐ 1.	Name, PAN, Residential Address and Photographs of Promoters/ Partners/Karta/Trustees and whole time directors:	As per Separate Sheet Enclosed
☐ 2.	a. DIN of whole time directors	
	b. Aadhaar Number of Promoters/Partners/Karta	

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/KRA Agencies/R K Global Shares & Securities Ltd. (RKGSSL) through SMS/Email on the above registered number /email address. I am also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

Signature of the Applicant

(2)

Date

D D M M Y Y Y Y

FOR OFFICE USE ONLY☐ Originals verified & Self-Attested documents copies received

Name of the person doing IPV ⁵ & Interview		Designation	
Date of IPV ⁵	D D M M Y Y Y Y	SEBI Regn. No. #	
Name of the Organization		Signature of the person doing IPV*	

Signature of the Authorised Signatory of R K Global Shares & Securities Ltd. Ltd. with Seal & Stamp

Date

D D M M Y Y Y Y

\$ IPV - stands for In Person Verification # Member Broker / Authorised Person * Mandatory Field

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

Name of Applicant

PAN of the Applicant

1.	Name											Photograph Please affix your recent passport size photograph & Sign Across it.	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN									DIN			
	AADHAAR												
	Residential / Registered Address												
										PIN			
		City/Town/Village							State				
										Country			
Wether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO													

2.	Name											Photograph Please affix your recent passport size photograph & Sign Across it.	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN									DIN			
	AADHAAR												
	Residential / Registered Address												
										PIN			
		City/Town/Village							State				
										Country			
Wether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO													

3.	Name											Photograph Please affix your recent passport size photograph & Sign Across it.	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN									DIN			
	AADHAAR												
	Residential / Registered Address												
										PIN			
		City/Town/Village							State				
										Country			
Wether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO													

4.	Name											Photograph Please affix your recent passport size photograph & Sign Across it.	
	Relationship with Applicant (i.e. promoters, whole time directors etc.)												
	PAN									DIN			
	AADHAAR												
	Residential / Registered Address												
										PIN			
		City/Town/Village							State				
										Country			
Wether Politically Exposed ☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO													

Name & Signature of the Authorised Signatory(ies)	(3)	Date
--	-----	--

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

Name of Applicant															
PAN of the Applicant															

5.	Name															Photograph Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State										Country								
Wether Politically Exposed		☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO																

6.	Name															Photograph Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State										Country								
Wether Politically Exposed		☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO																

7.	Name															Photograph Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State										Country								
Wether Politically Exposed		☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO																

8.	Name															Photograph Please affix your recent passport size photograph & Sign Across it.		
	Relationship with Applicant (i.e. promoters, whole time directors etc.)																	
	PAN													DIN				
	AADHAAR																	
	Residential / Registered Address																	
		City/Town/Village										PIN						
State										Country								
Wether Politically Exposed		☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO																

Name & Signature of the Authorised Signatory(ies)	 (3)															Date <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>				D	D	M	M	Y	Y	Y	Y
																D	D	M	M	Y	Y	Y	Y				

PART-II TRADING & DEPOSITORY ACCOUNT RELATED DETAILS

FOR INDIVIDUALS & NON-INDIVIDUALS



CIN No.: U99999MH1995PTC174185

Registered Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Website: www.rkglobal.net

Corporate Office: Flat No.5, Sagar Apartment, 6 Tilak Marg, New Delhi-110001.

Phone: +91-11-4310 0999 | Fax: +91-11-2338 5640 | Website: www.rkglobal.net

I/We request you to open a Trading & Depository account in my/our name as per the below mentioned details and request you to map my/our Client Id so allotted for depository account opened alongwith my/our trading account as my/our primary depository account and other depository account, if any, mentioned below as my/our additional depository account.

FOR OFFICE USE ONLY

CLIENT ID

Unique Client Code (UCC)

DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Occupation (please tick any one and give brief details)	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student ☐ X-Not Catgorised ☐ Others (Please specify; _____)	☐ Agriculturist ☐ Retired ☐ Housewife ☐ Professional	☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Student ☐ X-Not Catgorised ☐ Others (Please specify; _____)
Brief details			
Please Tick (✓) if Applicable	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP)	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP)	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (RPEP)

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

Name	PAN
------	-----

TYPE OF ACCOUNT

☐ Ordinary Resident	☐ NRI-Repatriable	☐ NRI-Non Repatriable	☐ Qualified Foreign Investor	☐ Foreign National	☐ Promoter	☐ Margin
☐ Body Corporate	☐ FI	☐ FII	☐ Qualified Foreign Investor	☐ Mutual Fund	☐ Trust	☐ Bank
☐ CM ☐ Others _____						

STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account (If you do not wish to authorise for credit kindly tick at 'No')	☐ Yes ☐ No
Demat Account to be operated through DDPI / Power of Attorney (PoA)	☐ Yes ☐ No
SMS Alert Facility [Mandatory if you are giving DDPI/PoA. Ensure that the mobile no. is provided in the KYC application form]	
First/Sole Holder ☐ YES ☐ NO	Second Holder ☐ YES ☐ NO
Third Holder ☐ YES ☐ NO	
Address for communication / Corporate Benefits (Default option is Local Address) ☐ Local / Permanent Address ☐ Correspondence Address / Foreign Address	

ANNUAL INCOME DETAILS (Please Specify)

Income Range per annum*	☐ Below ₹ 1 Lac	☐ ₹ 1-5 Lac	☐ ₹ 5-10 Lac	☐ ₹ 10-25 Lac	☐ ₹ 25-1 Crore	☐ More than ₹ 1 Crore
Networth Amount* (₹)	as on DDMMYYYY (Networth should not be older than 1 year)					

*Networth is compulsory for Non-Individual client. Income Range Compulsory for all clients.

TRADING PREFERENCES

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

Exchanges	NSE & BSE					MCX/NSE/BSE	MSEI
All Segments	Cash	F&O	Mutual Fund	Commodity Derivatives	Currency	Commodity Derivatives	Currency
(4a)	(4b)	(4c)	(4d)	(4e)	(4f)	(4g)	(4h)

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

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

DEPOSITORY ACCOUNT(S) DETAILS					

[illegible]

* If demat account(s) to be mapped is/are already opened then Copy of client master or latest statement of holding is required

BANK ACCOUNT(S) DETAILS

Sr.	Bank Name	Branch Address & Pin Code	Type of Bank Account / A/c No.	MICR Code										
1.			☐ Saving ☐ Current ☐ Others_____	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
	No. _____	IFSC Code _____												
2.			☐ Saving ☐ Current ☐ Others_____	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
	No. _____	IFSC Code _____												

*Copy of cancelled cheque with all relevant information required like MICR, IFSC, Name print etc. at serial no. 1 will be mapped with demat a/c to be opened, if any.

G.S.T. Registration Details (As applicable)

Sr.No.*	State	GST Registration Number
1.		
2.		

*Please attach copy of GST Registration Certificate.

PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years : ☐ Yes ☐ No if yes, Mention Details.....

GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name											
Relationship of guardian with applicant						PAN					

CLEARING MEMBER DETAILS (To be filled by Clearing Members only) FOR DEMAT ACCOUNT

Name of the Stock Exchange		Name of Clearing Corporation/Clearing House	
Clearing Member ID		SEBI Registration No.	
Trade Name		CM BP - Id (to be filled up by DP)	

DEALINGSTHROUGH OTHERTRADING MEMBERS

If client is dealing through any other Trading Member, provide the following details (in case dealing with multiple Trading Members/AP's, provide details of all in a separate sheet containing all the information as mentioned below:

Member's / AP's Name		Client Code	
Exchange		Exchange Regn. No.	
Concern Members Name with whom the AP is Registered			
Registered Office Address		City/Town/Village	PIN Code
		State	Country
Ph.	Fax	Email	Website
Details of disputes/dues pending from/to such Member/AP:			

ADDITIONAL DETAILS

◆ Mode of receiving statement of Account/ECN & other documents ☐ Physical Form ☐ Electronic Form [Read Note & ensure that email id is provided in KYC application form.]			
Specify your Email id, if applicable	[E-mail Id mentioned in Part-I]		E-mail Alert Facility ☐ Yes ☐ No
◆ Whether you wish to avail of the facility of internet trading/ wireless technology ☐ Yes ☐ No		Please specify	
◆ I / We would like to share the email ID with the RTA		☐ Yes ☐ No	
◆ ☐ No Prior Experience _____ ☐ In Commodities _____ Yrs		☐ In other investment related fields _____ Yrs	
◆ In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of ☐ Company ☐ Firm ☐ Others _____			
◆ Mode of receiving Standard Account Opening Documents		☐ Electronic Mode ☐ Physical Mode	
◆ I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')		☐ Yes ☐ No	
◆ Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly		
◆ 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 Physical)			
◆ Any other information			

DETAILS OF RELATED PERSON

☐ Addition of Related Person	☐ KYC Number of Related Persons (If available*)	
Related Person Type *	☐ Guardian of Minor	☐ Authorized Representative ☐ Assignee
Name		
(If KYC Number and name are provided, below details are optional)		

PROOF OF IDENTITY [Pol] OF RELATED PERSON*

☐ A - Passport Number										Passport Expiry Date				D	D	M	M	Y	Y	Y	Y
☐ B - Voter ID Card																					
☐ C - PAN Card																					
☐ D - Driving Licence										Driving Licence Expiry Date				D	D	M	M	Y	Y	Y	Y
☐ E - UID (Aadhaar)																					
☐ Z - Others (any document notified by the central govt.)										Identification Number											

INTRODUCER DETAILS (Optional)

Name of the Introducer														
Status of the Introducer		☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Others, please specify												
Address of Introducer														
		City/Town/Village							PIN Code					
		State				Country								
Phone No.						Signature of the Introducer								
Client Code/Client ID (if Existing Client)														

MOBILE NUMBER AND E-MAIL ID DECLARATION (For Individual)

(FIRST HOLDER)

[illegible]

I hereby declare that the Email ID mentioned on KYC Part-I belongs to _____
Name of the relative

☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent

PAN

(SECOND HOLDER)

I hereby declare that the Mobile No. mentioned on KYC Part-I belongs to ☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent
Name of the relative _____ PAN [][][][][][][][]

[illegible]

(THIRD HOLDER)

I hereby declare that the Mobile No. mentioned on KYC Part-I belongs to ☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent

Name of the relative PAN

I hereby declare that the Email ID mentioned on KYC Part-I belongs to ☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent

MOBILE NUMBER AND E-MAIL ID DECLARATION (For Non-Individual)

I hereby declare that the Mobile No. mentioned on KYC Part-I belongs to _____

PAN

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

 who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

I hereby declare that the Email Id mentioned on KYC Part-I belongs to _____

PAN

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

 who is the Karta/Partner/Director/Authorized Signatory/Trustee of the HUF/Firm/Company/Trust

IN CASE OF NRI's/Foreign National/FII's/OCB/OTHERS (As may be applicable)

RBI Approval Reference No.		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration No. (For FII's)										
Please attach copy of permission for dealing in securities/commodities from authorised dealer (bank) - RBI Approval										
With reference to my/our Demat account maintain with R K Global Shares & Securities Ltd. I/We hereby confirm that I/We have complied with, and shall continue to comply with Foreign Exchange Management Act (FEMA), 1999 and Rules & Regulations issued thereunder and other applicable laws.						 (5)		Signature of Client		

Mode of Operation for Joint Account

☐ Jointly	☐ Anyone of the holder or survivor (s)	
If mode of Operation for joint account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter Depository Transfer, pledge /hypothecation/margin pledge/margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze / unfreeze of account and /or securities and/ or specific number of securities will be permitted. Note: Other than above transactions/ conditions, all the other request should be duly signed by all the holders.		
 (6) Signature of Sole / First Holder	 Signature of Second Holder	 Signature of Third Holder

Mode of Communication to be sent in case of joint account

For Joint accounts, communication to be sent to	☐ First Holder	☐ All joint account holders
---	---------------------------------------	--

Details of TM / DP : R K Global Shares & Securities Ltd. 81/2/7, Phears Lane, 4th. Floor, Kolkata - 700012.

Date	D	D	M	M	Y	Y	Y	Y	DP ID							Client ID							
										UCC													

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *

Nomination Details

Nominee	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.O.B. of nominee (dd-mm-yyyy)	Guardian
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

☐

Name of nominee(s)

☐

Nomination: Yes / No

2) I hereby authorize _____ (nominee number _____)

to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ___% of assets in the account or Rs. _____. **(Optional)**

(strike off portions that are not relevant) This nomination shall supersede any prior nomination made by me / us, if any.

Signature of

Sole / 1st Holder _____

Signature of

2nd Holder _____

Signature of

3rd Holder _____

3) Signature(s) – As per the mode of holding in demat account(s)

Name(s) of holder(s)		Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole / 1st Holder (Mr./Ms.)				
2nd Holder (Mr./Ms.)				
3rd Holder (Mr./Ms.)				

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

***Joint Accounts:**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners.
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

Notes:

** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.

**** to be furnished only in following conditions / circumstances:

- Date of Birth (DoB): please provide, only if the nominee is minor.
- Guardian: It is optional for you to provide, if the nominee is minor.

Rights, Entitlement and Obligation of the investor and nominee:

- If you are opening a new demat account, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/0027, dated February 28, 2025
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgment from the DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account.
- In case all your nominees do not claim the assets from the DP, then the residual unclaimed asset shall continue to be with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account, in case of your physical incapacitation, at any point of time and not just during opening of account. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.

- o 'Either or Survivor' Accounts - any one of the holder can sign
- o 'First holder' Accounts - only First holder can sign
- o 'Jointly' Accounts - all holders have to sign

Transmission aspects

- DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % Share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for Opting Out of Nomination



<u>Details of TM / DP :</u> R K Global Shares & Securities Ltd. 81/2/7 Phears Lane, 4th. Floor, Kolkata - 700012.	Date	D	D	M	M	Y	Y	Y	Y
UCC									
DP ID									
Client ID (only for Demat account)									
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 MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account..									
Name and Signature of Holder(s)*									
Signature:									
	1. _____	2. _____	3. _____						
Name:									
	1. _____	2. _____	3. _____						

Witness	Witness
Signature: _____	Signature: _____
Name: _____	Name: _____
Address: _____	Address: _____

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

SIGNATURES OF ALL HOLDERS

Signature of Sole/ First Holder/ Guardian/Karta/ Auth. Signatory	 (10)
Signature of Second Holder / Auth. Signatory	
Signature of Third Holder / Auth. Signatory	

DECLARATION

1. I/We hereby declare that the Rules, Regulations and By-laws of the Depository, Depository Participants, SEBI, Stock Exchanges & Stock Broker pertaining to an account which are in force now have been read by me / us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. The details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/we may be held liable for it.
2. I/We confirm having read explained and understood the contents of the document on policy and procedures of the Stock Broker and the tariff sheet.
I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) (Depository & Trading) and 'Risk Disclosure Document' (Trading). I/We do hereby agree to be bound by such provisions as outlined in these documents. I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/We hereby acknowledge the receipt of Rights and Obligations of Stock Brokers, Authorised person and Clients (Trading) and also Rights and Obligations of the Beneficial Owner and Depository Participant. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website.
3. I/We hereby declare that the client id allotted to me/us for depository account opened by you as per this application form be mapped with my/our trading account opened as per this application form as my/our primary depository account and other depository account, if any, mentioned above as my/our additional depository account.

Place : _____

Date _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client	Client ID	
I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, for the information of the clients.		Signature of the Authorised Signatory of R K Global Shares & Securities Ltd. with Seal & Stamp
Date :		

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading and Demat Account)

A. IMPORTANT POINTS

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

B. Proof of Identity (POI)

List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

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

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

D. Exemptions/clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

Type of Entity	Documentary Requirements
Corporate	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). *Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). - Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. - Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. - Copies of the Memorandum and Articles of Association and certificate of incorporation. - Copy of the Board Resolution for investment in securities/commodities market. - Authorised signatories list with specimen signatures.
Partnership Firm	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered partnership firms only). *Copy of partnership deed. - Photograph, POI, POA, PAN of Partners. - Authorised signatories list with specimen signatures.
Trust	- Copy of the balance sheets for the last 2 financial years (to be submitted every year). - Certificate of registration (for registered trust only). **Copy of Trust deed. - Photograph, POI, POA, PAN of Trustees. - List of trustees certified by managing trustees/CA.
HUF	- PAN of HUF. - Bank pass-book/bank statement in the name of HUF. - Deed of declaration of HUF/List of coparceners. - Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a Body of Individuals	- Proof of Existence/Constitution document. - Resolution of the managing body & Power of Attorney granted to transact business on its behalf. - Authorized signatories list with specimen signatures.
Banks/Institutional Investors	- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. - Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	- Copy of SEBI registration certificate. - Authorized signatories list with specimen signatures.
Army/Government Bodies	- Self-certification on letterhead. - Authorized signatories list with specimen signatures.
Registered Society	- Copy of Registration Certificate under Societies Registration Act. - List of Managing Committee members. - Committee resolution for persons authorised to act as authorised signatories with specimen signatures. - True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Note : (1)* For corporate: 25% or more ownership & for other entities 15% and above implies "controlling ownership from UBO perspective".

(2)** For Trusts, the trustees and settlers / protectors are also to be given as UBOs (3) Individual having controlling stake /UBO shall submit KYC-Part-I, separately, alongwith the copy of their aadhaar card/other proof of identity/ address.

INSTRUCTIONS / CHECK LIST

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

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

Bank Proof: Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

For Non Individuals: (i) Form need to be initialised by all the authorized Signatories.

(ii) Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities/commodities on behalf of company/firm/others and their specimen signatures.

In-person Verification:

For Individuals: (i) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/authorised person's office.

(ii) 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.

NOTES :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- In case of joint account on death of any of the joint holders, the surviving account holder(s) has to inform Participant about the death of account holder(s) with required documents within one year of the date of demise.
- In case if first holder is selected the communication will be sent as per the preference mentioned in case all joint account holders is opted, communication to first holder will be sent as per preference and communication to other holders will be in electronic mode. The default option will be communication to first holder if no option selected.
- Strike off whichever is not applicable.

INSTRUCTIONS RELATED TO NOMINATION, ARE AS BELOW:

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly and singly by the sole/first holder in case of trading account. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account/trading account stands rescinded upon closure of the beneficiary owner account/trading account. Similarly, the nomination in respect of the funds/securities/commodities shall stand terminated upon transfer of the funds/securities/commodities.
- Transfer of funds/securities/commodities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant/exchange(s) against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts/trading account on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository/exchange(s) shall not be under any obligation to transfer the funds/securities/commodities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.

FINANCIAL DETAILS AND OTHER DETAILS

The information is sought under the Prevention of Money Laundering act, 2002, the rules notified thereunder and SEBI and Exchange Guidelines issued on Anti Money laundering.

I (a). Annual Income (Last Three years from the date of opening of this Account)

1st Year

- | | | | |
|---|---|--|--|
| ☐ Upto Rs. 1 Lac | ☐ Rs. 1 Lac to 5 Lac | ☐ Rs. 5 Lac to 10 Lac | ☐ Rs. 2 Crore and Above |
| ☐ Rs. 10 Lac to Rs. 25 Lac | ☐ Rs. 25 Lac to Rs. 50 Lac | ☐ Rs. 50 Lac to Rs. 1 Crore | |

2nd Year

- | | | | |
|---|---|--|--|
| ☐ Upto Rs. 1 Lac | ☐ Rs. 1 Lac to 2 Lac | ☐ Rs. 2 Lac to 5 Lac | ☐ Rs. 5 Lac to 10 Lac |
| ☐ Rs. 10 Lac to Rs. 25 Lac | ☐ Rs. 25 Lac to Rs. 50 Lac | ☐ Rs. 50 Lac to Rs. 1 Crore | ☐ Rs. 2 Crore and Above |

3rd Year

- | | | | |
|---|---|--|--|
| ☐ Upto Rs. 1 Lac | ☐ Rs. 1 Lac to 2 Lac | ☐ Rs. 5 Lac to 10 Lac | ☐ Rs. 5 Lac to 10 Lac |
| ☐ Rs. 10 Lac to Rs. 25 Lac | ☐ Rs. 25 Lac to Rs. 50 Lac | ☐ Rs. 50 Lac to Rs. 1 Crore | ☐ Rs. 2 Crore and Above |

I (b). Source of Income _____

2. Networth Details (as on the date of account opening)

1st Year

- | | | | |
|---|---|--|--|
| ☐ Upto Rs. 1 Lac | ☐ Rs. 1 Lac to 2 Lac | ☐ Rs. 2 Lac to 5 Lac | ☐ Rs. 5 Lac to 10 Lac |
| ☐ Rs. 10 Lac to Rs. 25 Lac | ☐ Rs. 25 Lac to Rs. 50 Lac | ☐ Rs. 50 Lac to Rs. 1 Crore | ☐ Rs. 2 Crore and Above |

3. Please tick mark the additional applicable category to you.

- ☐ Non Resident Client;
- ☐ High Network Client (Having annual income or networth of more than Rs. 1 Crore;
- ☐ Trust, Charities, NGOs and Organizations receiving donations;
- ☐ Company having close family shareholding or beneficial owners;
- ☐ Civil servant or family member or close related of civil servant.
- ☐ Bureaucrat or family member or close relative of bureaucrat;
- ☐ Current of Former MP or MLA or MLC or their family member relative;
- ☐ Politician or their family members or close relative;
- ☐ Current or Former Head of State or of Government or their family member or close relative;
- ☐ Senior Government/Judicial/Military Officers or their family member or close relative;
- ☐ Senior executive of State-owned corporations or their family member or close relative;
- ☐ Companies offering foreign exchange offerings;
- ☐ None of the above;

SELF DECLARATION

1. I/We hereby further confirm/undertake that the investments/trading done in Securities Market are from my / own / borrowed sources of funds and I/We confirm that the funds utilized for trading activities by me is in compliance with the rules, regulations and guidelines stipulated under PMLA.
 - a. My annual Income is Rs. (Source of Income
 - b. My DP holding as on date is attached herewith. The total valuation as on is Rs.
 - c. My Net Worth as on is Rs.
2. I/We certify that the information given above by me/us is true and undertake to notify promptly of any change in my/our KYC information concerning my income and investment profile.
3. I/We understand that providing any incomplete, false or incorrect information may give effect to liability under the provisions of SEBI Act, 1992 and Regulations, Rules, Circulars, Guidelines thereunder as well as the Rules, Regulations, Bye-laws, Circulars of Stock Exchange(s) where is a Trading Members.

Client Name _____
 Client Code _____

Signature of Client

 (11)

FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS
MANDATORY

The information in this section is being collected because of enhancement to Co's new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements pursuant to amendments made to Income - tax Act, 1961 read with Rules, 1962. For more information refer <http://bit.ly/29F0475> & <http://bit.ly/1pXp8Bg> (We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisory)

Ist Holder - Section-I (All fields are mandatory) (Please fill in BLOCK LETTER)

1.	Trading Code: Client ID (To be provided only if demat account is with RKGSSL)																			
2.	Name of Account Holder																			
3.	a. Address for Tax Residence City _____ State _____ Country _____ Pin Code: [][][][][][] (Please use this space in case you are Tax Resident of more than one country) b. Address for Tax Residence City _____ State _____ Country _____ Pin Code: [][][][][][]																			
4.	Address Type (tick whichever applicable)	☐ Residential ☐ Business ☐ Registered Office ☐ Residential Business																		
5.	Do you satisfy any of the criteria mentioned below?	<table border="1"> <tr> <td></td> <td>Yes</td> <td>No.</td> </tr> <tr> <td>a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>b. Country of birth is any country other than India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>c. Tax resident of ANY country / ies other than India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>d. POA or a mandate holder who has an address outside India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>e. Address or telephone number outside India</td> <td>☐</td> <td>☐</td> </tr> </table>		Yes	No.	a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]	☐	☐	b. Country of birth is any country other than India	☐	☐	c. Tax resident of ANY country / ies other than India	☐	☐	d. POA or a mandate holder who has an address outside India	☐	☐	e. Address or telephone number outside India	☐	☐
	Yes	No.																		
a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]	☐	☐																		
b. Country of birth is any country other than India	☐	☐																		
c. Tax resident of ANY country / ies other than India	☐	☐																		
d. POA or a mandate holder who has an address outside India	☐	☐																		
e. Address or telephone number outside India	☐	☐																		

If you answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgement

Ist Holder - Section-II (All fields are mandatory)

Father's Name _____ (If PAN not available then mandatory) Country of Birth _____ Place within the country of birth _____ (If USA, however nationality and or country of tax residency is not USA, Please provide documentary evidence as mentioned in instruction I) Source of Wealth _____ Nationality _____ Please list below the details, confirming ALL countries of tax residency / permanent residency / citizenship and ALL IDENTIFICATION NUMBER		
Country of Tax Residency	Tax Identification no	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN/ functional equivalent is yet available or has not yet been issued, please provide an explanation _____

2nd Holder - Section-I (All fields are mandatory) (Please fill in BLOCK LETTER)

1.	Trading Code: Client ID (To be provided only if demat account is with RKGSSL)																			
2.	Name of Account Holder																			
3.	a. Address for Tax Residence City _____ State _____ Country _____ Pin Code: [][][][][][] (Please use this space in case you are Tax Resident of more than one country) b. Address for Tax Residence City _____ State _____ Country _____ Pin Code: [][][][][][]																			
4.	Address Type (tick whichever applicable)	☐ Residential ☐ Business ☐ Registered Office ☐ Residential Business																		
5.	Do you satisfy any of the criteria mentioned below?	<table border="1"> <tr> <td></td> <td>Yes</td> <td>No.</td> </tr> <tr> <td>a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>b. Country of birth is any country other than India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>c. Tax resident of ANY country / ies other than India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>d. POA or a mandate holder who has an address outside India</td> <td>☐</td> <td>☐</td> </tr> <tr> <td>e. Address or telephone number outside India</td> <td>☐</td> <td>☐</td> </tr> </table>		Yes	No.	a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]	☐	☐	b. Country of birth is any country other than India	☐	☐	c. Tax resident of ANY country / ies other than India	☐	☐	d. POA or a mandate holder who has an address outside India	☐	☐	e. Address or telephone number outside India	☐	☐
	Yes	No.																		
a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]	☐	☐																		
b. Country of birth is any country other than India	☐	☐																		
c. Tax resident of ANY country / ies other than India	☐	☐																		
d. POA or a mandate holder who has an address outside India	☐	☐																		
e. Address or telephone number outside India	☐	☐																		

If you answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgement

2nd Holder - Section-II (All fields are mandatory)

Father's Name _____ (If PAN not available then mandatory)

Country of Birth _____ Place within the country of birth _____

(If USA, however nationality and or country of tax residency is not USA, Please provide documentary evidence as mentioned in instruction I)

Source of Wealth _____ Nationality _____

Please list below the details, confirming ALL countries of tax residency / permanent residency / citizenship and ALL IDENTIFICATION NUMBER

Country of Tax Residency	Tax Identification no	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN/functional equivalent is yet available or has not yet been issued, please provide an explanation _____

3rd Holder - Section-I (All fields are mandatory) (Please fill in BLOCK LETTER)

1.	Trading Code: Client ID (To be provided only if demat account is with RKGSSL)		
2.	Name of Account Holder		
3.	a. Address for Tax Residence City _____ State _____ Country _____ Pin Code: (Please use this space in case you are Tax Resident of more than one country) b. Address for Tax Residence City _____ State _____ Country _____ Pin Code:		
4.	Address Type (tick whichever applicable)	☐ Residential ☐ Business ☐ Registered Office ☐ Residential Business	
5.	Do you satisfy any of the criteria mentioned below?	Yes	No.
	a. Citizen of any country other than India (Dual/Multiple) [Including Green Card]	☐	☐
	b. Country of birth is any country other than India	☐	☐
	c. Tax resident of ANY country / ies other than India	☐	☐
	d. POA or a mandate holder who has an address outside India	☐	☐
	e. Address or telephone number outside India		

If you answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgement

3rd Holder - Section-II (All fields are mandatory)

Father's Name _____ (If PAN not available then mandatory)

Country of Birth _____ Place within the country of birth _____

(If USA, however nationality and or country of tax residency is not USA, Please provide documentary evidence as mentioned in instruction I)

Source of Wealth _____ Nationality _____

Please list below the details, confirming ALL countries of tax residency / permanent residency / citizenship and ALL IDENTIFICATION NUMBER

Country of Tax Residency	Tax Identification no	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN/functional equivalent is yet available or has not yet been issued, please provide an explanation _____

Declaration & Acknowledgment

I/We being the beneficial owner of the account opened / to be opened with RKGSSL and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed. I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the RKGSSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the RKGSSL does not receive a valid self certification from me) RKGSSL may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me I/We ensure that I/We will advise RKGSSL promptly, i.e., within 30 days, Towards compliance with such laws, the may RKGSSL also be required to provide information to any institutions such as withholding agents for the

purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/Tax authorities, the RKGSSL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s). I/We further agree that the information provided above will be updated in all my trading/demat accounts, if any at PAN level. I/We also understand that the account will be reported if any ne of the aforesaid FATCA/CRS criteria for any of the account holders i.e. primary or joint (in case of demat account) re met.

 (12)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

Instructions to the Form

In case customer has the following indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant curing documents as mentioned below:

FATCA/CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/CRS Indicia
U.S. place of birth	Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; Non-US passport or any hon-US government issued document evidencing nationality or citizenship (refer list below); AND Any one of the following documents: Certified Copy of Certificate of Loss of Nationality or Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/mailling address in a country other than India. or Telephone number in a country other than India.	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts))	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and 2. Documentary evidence (refer list below)
POA granted to a person with an address in a country outside India.	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR 2. Documentary evidence (refer list below)

- A. List of acceptable documentary evidence needed to establish the residence(s) of tax purposes:
- Certificate of residence issued by an authorized government body*
 - Valid identification issued by an authorized government body* (e.g. Passport, National Identify card. etc.)
- *Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.
- B. Clarification/Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India.
- TAX identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of the type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number).

Officer Use Section:

	NAME OF THE EMPLOYEE
NAME OF THE EMPLOYEE	
EMPLOYEE CODE	
DESIGNATION OF EMPLOYEE	
PLACE	
DATE	

Brokerage Structure

Brokerage Scheme Code	
Segment Type	EQUITY CASH, EQUITY DERIVATIVE, CURRENCY, MUTUAL FUND AND COMMODITY
Advance Brokerage	0.00
Advance Brokerage	0.00

SEGMENT	BROKERAGE TYPE	VALUE	MIN	MAX
Equity Cash-Intraday				
Equity Cash-Delivery				
F & O - Future				
F & O Option				
Currency - Future				
Currency - Option				
Commodity				
Mutual Fund				

 (13)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

Disclosure Information

Dear Sir / Madam,

This is to inform you as per Rules, Regulations and Bye-laws of NSE, BSE, MSEI, MCX that we do client based trading and Pro-account trading and we are not indulged in portfolio management services.

Regards,

R K GLOBAL SHARES & SECURITIES LTD.

I/We acknowledge receipt of information given above by R K GLOBAL SHARES & SECURITIES LTD. that they do client base trading and Pro-account and they are not indulged in portfolio management services.

Name of Client	
----------------	--

 (14)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

Undertaking for Issuance of DIS Booklet

Option for issuance of DIS booklet along with account opening (to be filled by persons seeking to open a depository account who have given DDPI/Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

To

NSDL DP ID

I

N

R K Global Shares & Securities Ltd.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Wbsite: www.rkglobal.net

Name(s) of account holder(s)

Sole/ First holder

Second holder

Third holder

Option for Issue of DIS booklet (please tick any one)

Option 1 ☐

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening

Option 2 ☐

I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.

Beneficial Owner	Name	Signature with date
Sole/ First Holder		 (15)
Second Holder		
Third Holder		

DEMAT DEBIT AND PLEDGE INSTRUCTION [DDPI]

I/ We Mr./Mrs. M/s (First holder) _____,

(Second Holder) _____,

(Third Holder) _____,

S/o, D/o, W/o _____ residing at / having registered office at _____

an Individual/ a Sole Proprietary concern/ a Partnership Firm/ a Body Corporate / Trust, registered/ Incorporated, under the provisions of the (here in after referred to as "beneficial Owner") wish to avail / have availed the broking / E-broking facilities and other services offered (here in after referred to as "Services"), by R K GLOBAL SHARES & SECURITIES LIMITED company incorporated under the companies Act 1956 and having its Registered office address at 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai Maharashtra 400021 (here in after referred to as "Member") and is also a "Depository Participant" registered with National Securities Depository Limited (NSDL).

WHEREAS I am/We are investor(s) engaged in buying, selling and trading of securities in cash Segment and / or dealing in F&O and Currency Derivative Segment of NSE/BSE through broker, a Member of National Stock Exchange of India Limited (NSE) having Member ID 08250 & Bombay Stock Exchange Limited (BSE) having Member ID 6218 bearing SEBI Registration no. INZ000187132.

AND WHEREAS I/We hold a Beneficiary Account no. _____ (BO-ID) with Depository Participant R K GLOBAL SHARES AND SECURITIES LIMITED with National Securities Depository Limited (NSDL), having DP-ID: IN302951/ DP ID-IN302453 SEBI Registered no IN-DP-241-2016.

NOW KNOW I/WE ALL, do hereby, jointly and severally give my / our Instruction to R K GLOBAL SHARES AND SECURITIES LIMITED Stock Broker and Depository Participant, to exercise and perform the following acts, deeds and things as mentioned below:

S.No.	PURPOSE	SIGNATURE OF CLIENT
01	Transfer of securities held in my/our beneficial owner account towards Stock Exchange related to deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through R K GLOBAL SHARES AND SECURITIES LIMITED.	1 ST Holder -  (16a)
		2 ND Holder -
		3 RD Holder -
02	Pledging / re-pledging of securities in favour of trading member (TM)/clearing member (CM) for the purpose of meeting margin requirements in connection with the trades executed by me / us the Stock Exchange.	1 ST Holder -  (16b)
		2 ND Holder -
		3 RD Holder -

S.No.	PURPOSE	SIGNATURE OF CLIENT
03	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	1 ST Holder -  (16c)
		2 ND Holder -
		3 RD Holder -
04	Tendering shares in open offers through Stock Exchange platforms.	1 ST Holder -  (16d)
		2 ND Holder -
		3 RD Holder -

- The Demat account details of member where shares can be transferred for above purpose if mentioned below:

Account Name	Depository	DPID / CMBP ID	Client ID
NSE Pool	NSDL	IN302453	10000077
BSE Pool	NSDL	IN302453	10146921
TM CM Client Sec Margin Pledge	NSDL	IN302453	10264552
TM Client Sec Margin Pledge	NSDL	IN302453	10264544
NSCCL MF Account	NCL	IN56557	11000011000178378
BSE MF Account	INDIAN CL. CORP.	IN620031	1100001000020972
Future & Option Pool Account	NSDL	IN302453	10264624

DECLARATION FOR BASIC SERVICES DEMAT ACCOUNT (BSDA)

To,

RK Global Shares & Securities Ltd.

IN302951 / IN302453

61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

With reference to my / our application for opening a depository account, I/We request you to open my / our depository account as per the following details:

	Name	PAN
Sole/First Holder		
Second Holder		
Third Holder		

I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA.

I/We are aware that if I/We are eligible to open a depository account as a BSDA, the account shall be opened as a BSDA.

I/We also understand that in case, I/We at any point of time do not meet the eligibility criteria as a BSDA holder, my/our demat account is liable to be converted to regular account.

I/We also state that if at any time choose to opt out of BSDA i.e. avail the facility of regular account the same will be communicated to the Participant from Sole / First Holder registered email ID.



R K GLOBAL SHARES & SECURITIES LTD.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021.

Phone: +91-22-4210 5555 | Fax: +91-22-4210 5500 | Email: mumbai@rkglobal.in | Website: www.rkglobal.net

CIN No.: U99999MH1995PTC174185

DP ID: IN302453 & IN302951 SEBI REGN. NOS.: IN-DP-241-2016

Email ID for Investor Complaint: grievances@rkglobal.in



SCHEDULE OF CHARGES FOR BENEFICIARY INDIVIDUAL / NON-INDIVIDUAL ACCOUNTS

Content		DP Id - IN302951/IN302453
ACCOUNT OPENING CHARGES		
a.	Account Opening Charges	NIL
ACCOUNT MAINTENANCE CHARGES		
a.	Account Maintenance Charges (Charged from 2nd Year)	NIL
b.	BSDA Account	Up to 4 lakhs -NIL, More than 4 lakhs but up to 10 lakhs - Rs 100, More than 10 lakhs -Not a BSDA Regular AMC may be levied
TRANSACTION CHARGES		
a.	Transaction Charges (BUY-Incoming)	NIL
b.	Transaction Charges (SELL - Outgoing)	Rs. 12.5 per ISIN or 0.01% of the delivered securities (whichever is higher) inclusive of NSDL charges.
c.	Dematerialization	Rs. 2/- per Certificate, Minimum Charges Rs. 40/-
d.	Rematerialisation	Minimum Rs. 40/-, or Rs. 20/- For Every Hundred Securities (whichever is higher) inclusive of NSDL charges.
e.	Margin Pledge initiation	Rs. 12 per ISIN
f.	Margin Pledge release	Rs. 12 per ISIN
g.	Pledge Charge	Rs 25 per ISIN
DELIVERY INSTRUCTION		
a.	Failed Transaction	Rs. 15/- per ISIN
b.	1st Delivery Instruction Book	NIL
c.	Every Additional Delivery Instruction Book	Rs. 15/-
d.	Cheque Bounce Charges	Rs. 300/-
e.	Modification in Client Master	Rs. 15/- per request
PERIODIC/NON PERIODIC STATEMENT		
a.	Statement Processing Charges	Rs. 20/- Monthly
b.	Postal Charges per Demat/Remat/Demat Rejection	Rs. 50/- per courier

* Cheque of Rs 50/- is required at the time of account opening which is adjusted towards the transaction cost.

NOTE:

For Corporate Account Rs.500/-P.A. will be levied vide NSDL Circular No NSDL/POLICY/2013/0108 Dated September 18, 2013 at the beginning of every financial year. Charges/Service standards are subject to revision to Depository Participants sole discretion and shall be informed by circulars sent by ordinary post 30 days prior to its implementation. Settlement fees charged by NSDL Rs.4/- Per transaction.

In case of non-payment of bills/any dues within 15 days of the due date, interest shall be charged @ 18% per annum on the outstanding dues and the Depository services may be discontinued after the expiry of 30 days from the date of a notice served if such default continues. Restoration of such accounts will be Rs 100/- per account. Annual Maintenance Charge (AMC) is non-refundable. GST TAX, Education Cess and Higher Education Cess applicable on all above charges except stamp charges.

Same day instruction/Next day pay-in related instruction, if submitted after 4 pm will be received for execution on best effort basis and at client risk, subject to extra charge of Rs 20/- per ISIN. The value will be calculated as per NSDL formula. In case of foreign correspondence address, any other communication in the form of physical or email will be charged as per actuals. Any services not listed above will be charged extra.

Signature of Account Holders

(18)

Signature of Sole / First Holder



Signature of Second Holder



Signature of Third Holder

SELF DECLARATION - CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY

To,

R K Global Shares & Securities Ltd.

Dated: _____

61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021. | Phone: +91-22-4210 5555

CATEGORIZATION OF THE CLIENTS FOR EACH COMMODITY

I/We have been/shall be dealing through you as my/our member broker on different Commodity Exchanges in my/our trading account opened /to be opened with you.

I/We hereby declare my/ our category for the commodities mentioned therein, as given below in accordance with SEBI circular no.

SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019:

CATEGORIES							
Sr. N.	Name of Commodities	Farmer / FPO	Value chain participant (VCP)	Domestic Financial institutional investor	Foreign participant	Proprietary trader	Others
1	ALUMINIUM						
2	BARLEY						
3	BLACK PEPPER						
4	BRASS						
5	CARDAMOM						
6	CASTOR SEED						
7	CHANA						
8	COPPER						
9	CORIANDER						
10	COTTON SEED OILCAKE						
11	CRUDE OIL						
12	CRUDE PALM OIL						
13	DIAMOND						
14	GAUR GUM						
15	GAUR SEED 10 MT						
16	GOLD						
17	ISABGS						
18	JEERA						
19	KAPAS / COTTON						
20	LEAD						
21	MAIZE						
22	MENTHA OIL						
23	MOONG						
24	MUSTARD SEED						
25	NATURAL GAS						
26	NICKEL						
27	PADDY (BASMATI)						
28	PBI121						
29	PEPPER						
30	RBD PALMOLEIN						

31	REFINED SOY OIL						
32	RUBBER						
33	SILVER						
34	SOY BEAN						
35	STEELONG						
36	SUGAR M						
37	TURMERIC						
38	WHEAT						
39	ZINC						

I/We further declare that in case declaration is not provided for any of the particular exchange traded commodity, please consider the “Others” category for the same. I/We undertake that I/we shall inform the member broker in case there is any change in category for any of the exchange traded commodity.

CATEGORIES

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

OPEN INTEREST DECLARATION

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

UCC :

Dear Sir,

I/We, the undersigned, have taken cognizance of circular no. MCX/300/2006 and MCX/338/2006 dated August 1, 2006 & August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

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

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

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

Client Name _____

Client Code _____

Signature of Client

 (19)

CONTRACT BETWEEN MEMBER BROKER & CLIENT

This agreement is made at the place specified as place of execution & on the date as specified as date of agreement by and between:

M/s R K Global Shares & Securities Ltd. Ltd. a body corporate, incorporated under the provisions of the Companies Act, 1956, being a Member of the National Stock Exchange of India Ltd.(NSE) & BSE Ltd.(BSE) & Metropolitan Stock Exchange of India Ltd.(MSEI) in Currency Derivatives Segment & Member of Commodities Derivatives Segments of NSE, BSE, MCX having SEBI Registration Number - INZ000187132 and having its Registered Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021. (unless the context requires otherwise thereafter called the "MEMBER BROKER" / "RKGSSL") which expressions shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its successors in title & assigns, as the case may be, of the One Part;

And

Mr./Ms/M/s. _____ an individual/ a sole proprietary concern / a partnership firm / a LLP / a body corporate, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/ LLP Act, 2008/ the Companies Act, 1956 or 2013, having his/her/its Residence / Registered / Corporate Office at _____ (hereinafter called "the client") which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them, the member or members for the time being of the Hindu Undivided Family (HUF) and their respective heirs, executors, administrators and legal representatives/its successors/assigns, as the case may be, of the Other Part;

National Stock Exchange of India Limited, Bombay Stock Exchange Limited, Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange of India Limited, hereinafter referred as "Exchange", collectively or individually, as the context requires.

Whereas, MEMBER BROKER and Client enter into this agreement voluntarily for smooth functioning of the services offered by the MEMBER BROKER on the above referred Exchanges Now, in view of the foregoing

I. The Client agrees and acknowledges that it is recommended by the MEMBER BROKER to give orders/instructions in writing and to take acknowledgement of the same in writing from the MEMBER BROKER/sub broker/Authorised Person simultaneously, to avoid any disputes or differences and if the client chooses to give orders/instructions in a mode other than in writing or if the client does not take acknowledgement of order/instruction given in writing, the client shall be deemed to have disclaimed and waived any right to dispute regarding as to whether or not the orders/instruction were correctly received and/or entered into the trading system, including the plea that the orders/instruction were entered without express directions/authorization of

the client. It is agreed and understood by the client that if the client is unable to produce the acceptance of order/instruction by the MEMBER BROKER in writing, it shall be deemed that such order/instruction was in fact given verbally/orally as entered into the trading system and the waiver as stated herein above shall apply. The Client agrees that it shall be his/her/its sole responsibility to ascertain the status/results/trade of any orders given by him/her/it and no separate confirmation of the rejection of the order would be sent to the client either physically or electronically

2. The Client understands that placing an order with the MEMBER BROKER including a market order, does not guarantee execution of the order. The Client agrees that he/she/it will receive the price at which his/her/its order is executed by the exchange's computer system and such price may be different from the price at which the security/commodity is trading when his/her/its order is entered into the Member Broker systems. The MEMBER BROKER has the absolute right to reject any order that may be made by the Client for any reason whatsoever including for the breach of the requirement of maintaining the prescribed Margin in the Client Account.
3. If any transaction(s) under this Agreement or otherwise with the MEMBER BROKER, has/ have been executed by the Client and/or on behalf of the CLIENT by any other person, and the same has/have been accepted by Client from time to time on the basis of the contract note(s)/bills/any other communication dispatched/communicated to the CLIENT by the MEMBER BROKER and/or by part or full settlement of the said transaction(s) by the client then such transaction(s) shall be deemed to be executed by the Client and/or the person authorized by the CLIENT and the CLIENT hereby agrees to ratify and accept all such or other actions of such persons and undertakes to meet all obligations arising from these transactions.
4. The client further accepts and acknowledges that he/she/it would observe proper caution and due diligence while giving orders to the dealers/entering orders into trading platform provided by MEMBER BROKER under Internet Based Trading (IBT) services. The Client agrees and undertakes to ensure that there will not be any attempt at price distortion and/or price rigging made through any means. The client hereby will keep indemnified the MEMBER BROKER for any loss, claim, expenses, liability in this respect. The client acknowledges that MEMBER BROKER reserves the right to keep in abeyance the funds/securities / Commodities /other collateral as may be deemed fit by MEMBER BROKER depending upon the gravity of the violation or /and through trades done by/on behalf of the client considered as inappropriate/unacceptable by MEMBER BROKER/the relevant exchanges(s) / regulator(s). The client further understands and accepts that MEMBER BROKER also reserves the right to levy any penalty for such trades done by/on behalf of the client considered as inappropriate /unacceptable by MEMBER BROKER/the relevant exchange(s)/regulator(s),as may be deemed fit by MEMBER BROKER/the relevant exchange(s)/regulator(s).

Signature of Client



5. Client shall enter into all trades on his/her/its own account and shall not do any sub broking activity/unregistered intermediary and/or shall not do any activity which may constitute indulging in sub-broking/ unregistered intermediary activities. In case Client is found to be indulged in any such activity he/she/it shall be immediately debarred from trading.
6. The Client agrees that any securities/Commodities and or funds placed/deposited by him/her/it on any account with the MEMBER BROKER including as collateral/margin/ permitted by the Client to be retained in running account etc. may in turn be placed/ pledged/ deposited by the MEMBER BROKER with the Exchanges and clearing Member as the MEMBER BROKER may deem fit for the purposes of towards margin/collateral as also to meet shortfall in his/her/it's funds/securities/Commodities/pay in obligation/auction or assignment of contracts or any other liability arising out of his/her/it's dealings with/through the MEMBER BROKER. The Client authorizes the MEMBER BROKER to do all such acts, deeds and things as may be necessary and expedient for placing such securities/ Commodities /funds with the Exchanges/Clearing Member. The Client specifically agrees that no interest shall be payable on such amount or any other credit balance as maintained/lying with MEMBER BROKER even if the same is placed as bank deposit, FDR with exchanges/clearing Member. The Client further authorizes MEMBER BROKER to sell/liquidate these securities/ Commodities /funds at the time and manner of MEMBER BROKER's convenience, as and when deemed fit by MEMBER BROKER in its absolute discretion to meet any shortfalls in the Client's account or any other liability of Client.
- 7.1 The Client hereby agrees that it is the sole responsibility of the client to know the status/declaration of all corporate benefits including but not limited to rights issue, bonus issue, dividends, offer for sale and stock split of shares/buy back etc. announced by issuer company from time to time, for securities of company(ies) in which client intends to trade and/or those which are kept by client with MEMBER BROKER for ease of dealing/margin /collateral etc. and make appropriate trading/dealing decisions by appropriately considering the impact of and corporate action(s). MEMBER BROKER shall not be liable for and losses suffered by client, if client fails to apply, due to and reason, to such corporate benefits for the shares held by MEMBER BROKER in beneficiary account on behalf of client.
- 7.2 The client understands that some corporate benefits will require some action for obtaining the same, such as for rights issue etc. It is understood and agreed that client shall free the securities from an/ margin/collateral / pay in obligations etc. and get them moved (through a written request given well in advance) to client's own beneficiary account and take necessary action for applying and /or receiving corporate benefits. The MEMBER BROKER may upon (written request given well in advance) take actions for and on behalf of client to apply and /or receive such corporate benefits such as for right Issue/Open Offer /Buy Back for the shares held by MEMBER BROKER on behalf of client (subject to client making available free funds etc. for the same well in advance). However, MEMBER BROKER shall not be liable for any loss/claim whatsoever for and reason including in the event such application is rejected by Registrar/ Company manager to the issue for and reason.
- 7.3 The client agrees and undertakes to return back any excess securities/ Commodities /funds etc. ever transferred to his/her/its depository account(s)/Bank account(s) registered with the MEMBER BROKER and or other depository participant/Banks &/or delivered physically or otherwise to him/her/it alongwith all corporate benefits, if and. Such excess transfer may take place on account of and reason including operational and technical errors.
8. The Client agrees that he/she/it shall make all the payment and or deliver the securities / Commodities only in the name of MEMBER BROKER and the payment shall be by way of account payee bank instruments like cheque / draft/RTGS/NEFT etc. The client further agrees and undertakes that he/she/it shall not make any cash payment to the Member Broker and or any person for and on behalf of the Member Broker and or any person for and on behalf of the Member Broker. The client indemnifies and shall keep indemnified the MEMBER BROKER from any claim / action / expenses/ penalties / proceedings / losses/ damages etc. brought or commenced against MEMBER BROKER for any act of the client being contrary to this clause.
9. The Client shall ensure that all the payments including towards pay- in obligations/ margin obligation etc. in favour of MEMBER BROKER are issued from the bank account of the Clients and no third party cheques are issued or lodged into bank account of MEMBER BROKER. For all purposes including for the purpose of this Agreement and/or Rights & Obligations and/or Policies & Procedures and/or other relevant document(s), "Cheque(s) / Draft/ RTGS / NEFT would mean and include cheques, drafts, banker's cheques and or bank transfer/RTGS/NEFT in any other mode". In case of any such third party cheque is received/lodged and or used for the obligation of the Client, and the Client does not inform the same to the MEMBER BROKER in writing to corporate office and/or via electronic mail to care@rkglobal.in within 7 days from the delivery/display of the statements of accounts, data etc. to the client's by electronic communication or otherwise, then it shall be presumed that the Client has made the payments to the MEMBER BROKER by way of a cheque from third party with the full authority and consent of the third party and Third party payment is not acceptable in case and dispute and liability arises because of third part/cheque/credit having been used by the Client, he/she/it shall be solely liable for all the consequences thereof including and criminal liability. The client hereby indemnifies and shall keep indemnified MEMBER BROKER for and against and loss/claim, liability, action etc. including any criminal liability arising out of such act/negligence of Client directly or indirectly.
10. Notwithstanding anything stated above all the communications including relating to orders, margin, maintenance calls and other similar matters by the MEMBER BROKER to the Client may be communicated orally or by the usual business practices generally followed and or as agreed between the parties either expressly or impliedly.
11. The Client authorizes the MEMBER BROKER to deliver/adjust collaterals, securities/Commodities deposited with the MEMBER BROKER on any account including in Margin account against his/her/its sale directly to the MEMBER BROKER's Pool/Client Collateral account for pay-in of securities /

Commodities to the Exchange on his/her/its behalf.

12. The payment of Margin if in the form of securities will only be accepted by way of pledging of securities as per the procedure of exchange /depositories. 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
13. The Client is aware that the Member Broker may tape-record the conversations between the Client and the Member Broker, either personally or over the telephone, and hereby specifically permits the Member Broker to do so. Such recordings may be relied upon by the Member Broker as and when required to resolve disputes in connection with all matter but not limited to the trading transactions.
14. The Client authorizes the MEMBER BROKER to debit charges for depository services, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/pay order/PGP charges, NEFT/RTGS charges, call and trade charges, SMS charges, settlement/professional charges (as may be applicable to NRIs), research service /message fee, trading platform charges, application money and processing charges for mutual funds, initial public offerings/follow on public offerings, right issues etc. generally various investment avenues/products, processing fees / charges towards contract note/settlement of account etc. and any other such or similar fees/charges which are due/may become due to MEMBER BROKER.
15. It is clearly understood and agreed to by Client that no service/facility in the nature of portfolio management/ advisory services etc. are contemplated under the agreement(s) between the Client and MEMBER BROKER. No person working for or under MEMBER BROKER including dealer, relationship manager, sub broker or authorized person is permitted to provide any services, facilities except that of order placement in trading system(subject to limitations stated above) upon directions of client. If the client accepts any portfolio management services/advises/discretionary trading arrangements/ facility from any person including but not limited to dealer, relationship manager, sub broker or authorized person then in that event MEMBER BROKER shall in no way be responsible for the outcome of such services/facilities accepted by client, and such arrangement if any between the client and any person including the dealer, the relationship manager, sub broker or authorized person etc. shall be personal, mutual and private relationship between the client and such person(s) including dealer, relationship manager, sub broker or authorized person and client shall have no recourse/right against MEMBER BROKER what so ever either in law or equity.
- 16.1 The Client agrees and authorizes MEMBER BROKER to issue the contract notes, trade confirmations, order status, bills, margin statements, margin calls, settlement cycles/holidays, delivery/payment cycles/obligations, and account statements or such other data, documents, notices, circulars, any amendments in this Agreement and/or Right & Obligations, and/or Policy & Procedure and/or other relevant document(s), including obligatory

statements/documents to be sent to the Client related to his/her/its trading account with the MEMBER BROKER, in digital format by electronic communications, with the possible exception of graphic insertions. For all purposes including for the purpose of this Agreement and or any other document, such electronic communication shall be in the form of email and or email attachment including auto replies from the system of MEMBER BROKER and/or posted only on the relevant section of the website-{s} and/or in the form of download available on the websites rkglobal.in (and/or any other website as may be intimated by the member broker from time to time as part of the back office services) or SMS on the registered mobile number or messaging on the trading software or otherwise.

- 16.2 The Client understands and agrees that it is his /her/ it's responsibility / obligation to review regularly and or upon first receipt, all confirmations, statements, notices, contract notes, bills and other communications sent by electronic communication or in physical mode via post/courier etc. or otherwise. All information contained therein shall be binding upon the Client, if the Client does not object, either in writing by registered A.D. addressed & sent to the MEMBER BROKER's Integrated Back Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021. or via electronic mail to care@rkglobal.in from his/her/its registered email id within 1 days after any such document is sent to the Client by the MEMBER BROKER. The Client also agrees that MEMBER BROKER shall not take cognizance of out-of-office/out-of-station auto replies. The Client shall deemed to have received such electronic communications immediately upon the Member's sending/display of the electronic communications, non-receipt of bounced mail notification from any one of the email addresses of the Client as referred in this clause hereinafter with the MEMBER BROKER, shall amount to valid delivery.
- 16.3. The email id(s) provided by the Client in the KYC form and or in the authority letter for the Electronic Contract Note ECN shall be deemed to be the designated email id-{s} of the Client for all the communications to be sent by the MEMBER BROKER to the Client. The delivery of the above referred ECN, data, documents etc.to any of the designated email id (s) as referred to above shall be deemed to be a valid delivery.
- 16.4 The Client further agrees not to hold the MEMBER BROKER responsible for late/non-receipt of above referred documents etc. sent in electronic form and/or any other communication for any reason but not limited to failure of servers, loss of connectivity, email in transit etc. The Client agrees that the log reports of MEMBER BROKER's dispatching software shall be conclusive proof of dispatch of contract notes and/or all the above referred documents etc. to him/her/it and such dispatch shall be deemed to mean receipt by him/her/it and shall not be disputed by him/her/it on account of any non-receipt/delayed receipt for any reason whatsoever, non-receipt of bounced mail notification shall amount to valid delivery.
- 16.5 Notwithstanding anything stated above, the member broker shall send Electronic Contract Note (ECN) on designated email address(s) of the Client, MEMBER BROKER shall also make available ECN downloadable at the Member's website(s) through the back office login. This would enable the

Clients to view their contract notes, data, documents etc. through back office software for which the login and password is issued to the Client by the MEMBER BROKER.

16.6. The Client accepts full responsibility for the monitoring and safeguarding of his/her/it's account. The Client shall notify MEMBER BROKER in writing, delivered via- designated e mail address and Registered post within 24 hours of him/her/it becoming aware of any inaccurate /erroneous information/entry in the account balances, documents, transaction history etc. If the Client fails to notify his/her/its BROKER immediately upon the receipt by him/her/its when any of the above occur, neither MEMBER BROKER nor any of its officers, directors, employees, agents affiliates or subsidiaries can or will have any responsibility or obligation towards the Client or to any other person whose claim may arise for any reason including but not limited to claims arising with respect to the handling, mishandling or any loss including of any order/payment. The Client hereby indemnifies and shall keep indemnified the MEMBER BROKER for and against any loss / claim / liability / cost etc. arising out of such inaccurate/erroneous information/entry in the account balances, documents etc.

16.7 The MEMBER BROKER shall provide initial password and login for the back office services for the purposes as stated above. The Member Broker shall deliver to the Client password and login through which may form a part of the welcome letter or any other communication including but not limited to email/voice mail/SMS/Fax sent by MEMBER BROKER to the Client. 'Back office' or Back office Service' for this purpose shall mean and include access provided on MEMBER BROKER's above referred website(s) from time to time to the Client to access the above referred documents, data etc. The initial password sent by MEMBER BROKER should only be used for the first login. The Client agrees and undertakes to immediately reset his/her it's password(s) upon the first login. In case the password is lost, the Client will have to make a request for creating a new password or reset the password himself/herself/itself on the website or use other means of communication(s) such as SMS from registered mobile phone which allows authenticated password resets. The Client shall, within 24 hours on his/her/it becoming aware, notify MEMBER BROKER in writing with full details if he/she/it discovers or suspects, unauthorized access through his/her/its password or notice discrepancies that might be attributable to unauthorized access or discovers any flaw in the back-office service.

In any of the above events specified, the Client shall immediately change his/her/its password. However, if the Client is unable to change his/her/it's password due to any reason including of his/her/it's having forgotten his/her/its password or his/her/its password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request MEMBER BROKER in writing and follow the instructions given by MEMBER BROKER. MEMBER BROKER shall not be liable for any loss, whether notional or actual, that may be suffered by the Client on account of the misuse of the password at any point of time by any person.

17. The MEMBER BROKER's record of the trades/ transactions etc. shall be accepted as conclusive and binding on the Client for all purposes.

18. Quotes, research information, historical information and other content on the website(s) is provided by various third party service providers from time to time. Daily updates are subject to receipt from the respective third party data contributors. The latest quotes are subject to market fluctuations and will be subject to a delay. Market quotes and other information on the website(s), as well as reference materials or links to other sites, are for general informational purposes only, and are not intended to be relied upon for transactional or other purposes. Neither the MEMBER BROKER nor any of its data or content providers shall be liable for any errors or delays in the content, or for any actions taken or omitted to be taken in reliance thereon. Opinions expressed in any information contained on the website(s) are not indication of prospective rating/grading. Any rating awarded by the content providers, Affiliate Partners, Service Providers, the MEMBER BROKER or website(s), should not be treated as a recommendation to buy/sell hold any Security. The client shall rely exclusively on his/her/its best judgment in respect thereof. Stock quotes and mutual fund Net Asset Values (NAYs) and news stories, which are accessed, may be delayed.

19. The Client hereby authorizes the MEMBER BROKER in its absolute discretion to maintain records/ books of accounts for the Client separately or collectively for different exchanges / segments of the exchanges &/or any other service which the Client may be availing such as Advisory Services/ Depository Services etc. It shall be the sole responsibility of the Client to ascertain the balance of securities/ Commodities and or funds in all the accounts separately and the Client shall be required to pay/make available necessary monies/funds and or securities / Commodities into anyone or more such segregated/aggregated account(s) notwithstanding the fact that an aggregation of the accounts may not require from the Client either any securities/ Commodities and or monies/funds and the Client hereby agrees not to hold the MEMBER BROKER responsible for considering shortage of margin/security and or shortage of pay in obligations in any account, without aggregating/summing such accounts with other accounts.

20. The Client understands that the MEMBER BROKER may produce fundamental and trading research/ notes, particularly on companies, industry, stock markets, commodity markets and economy from time to time (collectively hereinafter referred to as "material"). The Client hereby requests the MEMBER BROKER to provide him/her /it with the material through email or by access to the website(s) of MEMBER BROKER or through SMS or any other mode on a voluntary basis. By agreeing to receive such material, the Client is aware that this material provided to him/her/it is only for his/her/its personal information. The Client understands that this material is not an offer or the solicitation of an offer to buy/sell any security/commodity. The Client alone shall be fully responsible/liable for his/her/its investments/trading decisions on the basis of this material. The Client agrees that the MEMBER BROKER would have no responsibility to update any information provided to the Client nor does it represent that the information provided in the material is complete/accurate. Further by providing such material MEMBER BROKER is not acting as his/her/its portfolio or financial adviser nor does it assumes any fiduciary duties. By sending this material on his/her/its request, MEMBER BROKER or any of its officers, directors, personnel and employees shall not be

liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential, as also any loss of profit in anyway arising from the use of this material in any manner.

21. The Client understands that the closing of the account of the Client will not affect the rights and / or obligations of either the MEMBER BROKER or the Client incurred prior to the date the account is closed.
22. The CLIENT undertakes to read all the relevant offer documents and terms and conditions of all schemes of all mutual funds, other securities including but not limited to Initial Public Offerings, Rights Issue, Buy Back Offer, and other investment products which the MEMBER BROKER and or RK Global Group of Companies may offers through its website(s)/trading software/trading system before entering into any transactions through its website(s)/trading software/trading system. Neither the MEMBER BROKER / RK Global Group nor any of the Mutual Funds/Issuers chosen shall accept any liability which may arise as a consequence of the erroneous Information provided by the CLIENT. In case of Mutual Fund, the units of schemes shall be allotted, redeemed or switched, as the case may be, as per the terms and conditions of the relevant schemes/registrar of the scheme. The MEMBER BROKER shall not be liable for any kind of loss including but not limited to that may arise to the CLIENT as a result of the correct NAV not being allotted to the CLIENT'S transactions on the web site/trading software. In case of securities, the order for purchase, sale, offer under buy back etc. shall be accepted by the MEMBER BROKER only if the same is received by the cut off date as indicated on the website(s) and consistent with the terms of the offer. The Member Broker may impose its own terms and conditions from time to time in this regards as indicated on the website of the Member Broker. In any case the MEMBER BROKER shall not be liable for any kind of loss for any reason in this respect. It is explicitly stated herein that the mutual funds schemes/offer documents/other schemes offered by the MEMBER BROKER, have not been recommended by the MEMBER BROKER.
23. The MEMBER BROKER shall provide its services and information etc. on the best efforts basis. However the MEMBER BROKER shall not be liable for any direct, incidental, special or consequential loss, damages ,other costs or "lost opportunity"{notional profits/losses) arising in any way out of (but not limited to):
 - 23.1 Services which could not be availed like Order/transactions not executed due to any reason including but not limited to time lag in execution of order, latency in the systems of the Member Broker or the Exchanges , disruption of any kind in the transmission of data, system failure including failure of ancillary or associated systems , fluctuation of power, link failure between the client and the Member Broker or the Member Broker and the Exchanges, virus/malware , delay/non receipt of user name/password for Internet based trading services/backoffice due to postal email delay; payment gateway delay/downtime, shutting down of systems by the Member Broker or disabling of the Client's access for any reason, any force majeure event or
 - 23.2 Any inaccuracy or error or delay or insufficiency for any reason in any information ,false statement, misrepresentation, breach of warranty or fraud

committed by any employee/ associates /third parties engaged by the MEMBER BROKER for the purpose of the services offered by it.

- 23.3 Unauthorised use of the username and password of the Client for the internet based trading services.
- 23.4 The Client hereby agrees to hold the MEMBER BROKER continuously harm less and indemnified against any claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned for any reason including but not limited on account of the MEMBER BROKER having entered into the Agreement &/or having dealt with/for the Client and or due to breach of any of the Client's obligation under the Rights & Obligations as defined by Exchanges/SEBI or any other agreement(s).
24. If any of the term(s)/ clause-{s) or part of any term/ clause of this agreement, is/are held to be contravention of /in conflict with any of the provision(s)/clause-{s) in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange-{s) or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term-{s)/clause(s) or part of term/clause of this agreement shall be null & void. The validity of the remaining term-{s)/clause(s), however, shall not be affected thereby and these term(s)/clause-{s) shall be carried out as if any such contravening/invalid/ unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.
25. The CLIENT hereby agrees and authorizes the MEMBER BROKER and RK Global Group of Companies & their agents to disclose, use, exchange, share or part with all information, data or documents relating to his/her/its account and transaction to other RK Global Group of Companies/ Banks/Financial Institution/Credit Bureaus /agencies/ Statutory Bodies/such other persons as the MEMBER BROKER or RK Global Group of Companies may deem necessary and/or appropriate and as may be required for use or processing of the said information/data etc. by such person/s or furnishing of the processed information/data /products etc. thereof to other RK Global Group of Companies / Banks/Financial Institutions/credit providers/agencies/ users registered with such persons and he/she/it shall not hold the MEMBER BROKER / RK Global Group of Companies and other persons to whom such information etc. is disclosed liable for the disclosure or use of such information etc. The RK Global Group of Companies would mean and include RK Global Commodity Broking Limited, RK Global Insurance Broker Limited, RK Global Forex Private Limited, RK Global Impex Limited, RK Global Tour & Travels Pvt. Ltd. and or as the MEMBER BROKER and/or RK Global Group of Companies may notify from time to time through electronic communication or otherwise
26. The CLIENT understands and agrees that certain details provided in their trading I back office account etc. would not be on a real time basis. The CLIENT further understands and agrees that such details would be updated by the MEMBER BROKER / RK Global Group of Companies on best efforts basis within reasonable time and he/she/it shall not hold the MEMBER BROKER and

or RK Global Group of Companies responsible for any possible mismatches in the real time data and data as reflecting on the website(s) during the period the updations are not effected.

27. The Client agrees that he/she/it does not have any objection to the MEMBER BROKER, RK Global Group of Companies agents/representative to provide him/her/it information on various products, offer and services provided by the MEMBER BROKER/RK Global Group of Companies through any mode not limited to telephone calls/SMSs/emails and authorize the MEMBER BROKER, RK Global Group of Companies agents representative for the above purpose. The MEMBER BROKER offer the "Internet based Trading" ("IBT") services or Online trading or Order Routing System" ("ITORS") services to the client. The client availing the same for purchasing, selling or otherwise dealing in securities / Commodities / derivatives / contracts / other instruments etc., further agrees to the hereinafter mentioned provisions of this clause in addition to all other clauses stated in this Agreement and/or in Rights & Obligations documents or other relevant document(s):-

28.1 The Client will be entitled to a username and Password, which would enable him/her/it to access the MEMBER BROKER's IBT for availing such services. MEMBER BROKER's IBT shall mean and include the website hosted by the MEMBER BROKER on the internet and or online trading software through which the MEMBER BROKER offers the online trading including but not limited to the hardware and software used for hosting and supporting the website and or the online trading software.

28.2 The Client is aware that the MEMBER BROKER's IBT generates the initial password and the MEMBER BROKER is aware of the same. The Client agrees and undertakes to immediately change his/her/its password upon receipt thereof. The Client acknowledges that subsequent passwords are not known or available to the MEMBER BROKER. The Client indemnifies and holds harmless the Member Broker against any liability, costs or damages arising due to any transaction or otherwise as a result of the Client not changing the password provided to him/her/it initially or at any time later as a reason of password resetting/new issuance or any other reason by the Member Broker.

28.3 The Client shall be solely responsible for keeping the user name and passwords confidential and fully secured and the Client shall be fully responsible for all orders entered and transactions done by any person whatsoever through the MEMBER BROKER's ITORS using the Client's User name and/or password whether or not such person was authorized to do so.

28.4 The Client acknowledges that he/she/it is fully aware and understands the risks associated with availing the Internet Based Trading facility through the MEMBER BROKER's IBT over the internet including the risk of misuse and unauthorized use of his/her/its username and/or passwords by any third party. Client also acknowledges that he/she/it understands and is aware about the risk of a person hacking into the Client's account on the MEMBER BROKER's IBT or unauthorisedly routing orders on behalf of the Client through the MEMBER BROKER's IBT. The Client agrees that he/she/it shall be fully liable and responsible for any unauthorized use or misuse of his/her/its user name and/or password and also for any acts by any person through the

MEMBER BROKER's IBT in the Client name in any manner whatsoever.

28.5 Online confirmation will be available to the Client upon execution or cancellation of an order placed by him/her/it through the MEMBER BROKER's IBT system.

28.6 The Client shall immediately inform the MEMBER BROKER. in writing, delivered via designated email ID to care@rkglobal.in and or via registered AD post to integrated Back Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 of any unauthorized use of the Client's User name and/or password with full details of such unauthorized use

29. The Client Confirms and agrees that he/she/it will be the sole authorized user of the Username(s)/login(s), Password(s), Customer User Identification Number(UIN), Telephone Personal Identification Number (TIN) or any other identification or security code (by whatever name called) to be given to him/her/it by the MEMBER BROKER to access MEMBER BROKER system and or service(s) through MEMBER BROKER's web site, internet, over the telephone, I BT or in such other manner as may be permitted by the MEMBER BROKER for availing of the services. The Client accepts sole responsibility for use, confidentiality and protection of the Username(s)/Login(s), Passwords, UIN, TIN or other security code(s) as may be issued by the MEMBER BROKER to the Client from time to time ("Security Codes") as well as for all orders/transactions and information changes entered into the Client's account using such security code(s).The Client shall ensure that such security code(s) is/ are not revealed to any third party .If the Client forgets the security code(s) or has suspicion of unauthorized use, a request for change of such Security Code(s) should be sent to the MEMBER BROKER in writing, delivered via designated email Id to care@rkglobal.in and or via registered AD post to integrated Back Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021. On receipt of such a request, the MEMBER BROKER shall discontinue the use of the old security code(s) and shall generate a new Security code(s) for the Client which shall be communicated to the Client. The Member Broker may also provide a web based security code(s) retrieval system for this purpose. However, the Client shall be responsible and liable for all transactions that are carried out by the use of the old Security code (s). Any order entered using the Client's security code(s) either through the website or internet or through telephone or otherwise is deemed to be that of the Client. If third parties gain access to the Member's services through the use of the Client's security code(s), the Client shall be responsible for the same and hereby indemnifies and holds harmless the Member against any liability, costs or damages arising out of claims or suits by or against such third parties based upon or relating to such access and use, since the primary responsibility for such transaction shall be that of the Client.

30. The Client agrees that for performing the acts contemplated under this relationship /agreement MEMBER BROKER has to use software and hardwares /machines etc. Client understand that as regard to trading the software/programmes of exchanges are used with additional software permitted by exchange such as (without limitation and as illustration) ODIN, Rupeesed, NEST etc. While exchanges take all care, have full proof software /

programmes and additional software/ programmes such as ODIN, NEST, Rupeesed etc. are pre-approved by exchanges, no warranty /guarantee is taken either by the vendors/suppliers of any these softwares/ programmes of their full proof/glitch/bug free performance always. Their operations can also be effected due to software viruses etc. which may interalia lead to disruption in trading/order entry and /or false /incorrect display of order/trade status including but not limited to display of trade confirmation etc. when actually trade has not occurred or has occurred contrary to display. Therefore the Client agrees that display or printout of any transaction taken out from any system /computer at the time of order entry or instructions entry or thereafter, including but not limited to net banking and/or electronic transfer of securities/ Commodities in depository etc. shall not be construed as the official record of the transactions/orders. Member Broker or service providers' (such as bank's exchange/clearing house/clearing corporation/depository participant/ depository) final official record of transaction maintained in their own books of accounts or electronic system shall only be the acceptable records of transaction and shall be conclusive and binding for all purposes .The Client agrees that this is without prejudice to the right of MEMBER BROKER/service providers to rectify any discrepancy/differences which is due to any inadvertent human error/system /computer error etc.at any time without limitation, at the sole and absolute discretion of MEMBER BROKER and /or any of the service providers.

31. MEMBER BROKER may at anytime amend this Agreement by modifying or rescinding any of the existing provisions or conditions or by adding any new provision or condition, by providing notice to client by electronic communication or through postal service or through courier or by personal messenger or by hand delivery or any other method as per discretion of MEMBER BROKER. The continued use of MEMBER BROKER's services after the notice period shall constitute acknowledgement and consent of/to such amendment. However, the Client has right to terminate this Agreement through communication in writing by giving one month notice subject to the meeting of the financial and other obligation under this Agreement and or under Rights & Obligations documents.
32. The Client assures the MEMBER BROKER that he/she/it is eligible to enter into this Agreement under the provisions of applicable laws. The Client shall continuously monitor his/ her / its eligibility to act under this Agreement under the applicable laws including but not limited to any act/ law/ rules & regulations for the time being in force and byelaws/ Rules/ Regulations of relevant exchange(s). If at any time this assurance ceases to be applicable, Client shall refrain from dealing with the MEMBER BROKER. The Client shall ensure that he/she/it shall not deal through the MEMBER BROKER on the exchange of which he/ she/ it is registered as a broker or sub broker or Authorised Person through any broker except with the permission of the relevant exchange.
33. The Client agrees that the failure of the MEMBER BROKER to enforce at any time any terms contained in this Agreement shall not be construed to be the waiver of any terms or of the right thereafter to enforce each and every term.

34. The client understand and agree the MEMBER BROKER is not under any obligation to inform the client of any exiting and or changes of regulations, bye laws, guidelines etc., of any authority SEBI, Government, Stock Exchanges etc., as may be in force from time to time. The Client shall keep himself/herself/ itself updated regarding the changes in the rules, regulations, bye laws, procedure of any authority, exchange(s) and or MEMBER BROKER through any means including using the website of the relevant entity.
35. The client and the MEMBER BROKER agree to refer any claims and /or disputes to arbitration as per the Rules & Regulations and Bye-laws of the Exchange and circular issued thereunder as may be in force from time to time.
36. The Client understands that giving / taking delivery of underlying Commodities (ies) to a contract is a very complex procedure and hereby agrees to square off / close out all open positions / contracts at least 5 (five) days prior to the date of expiry / settlement as declared by the Exchange(s), failing which the Member Broker is authorised to do so and any losses/ profits from such close out/ square • off shall be to Client's account only. However, where the Client advises through written communication with confirmed receipt by the Member Broker at least 5 days prior to the last day of the expiry of the particular(s) contract that Client wants to give/take delivery. . . The Member Broker may then elect not to square - off / close out open positions / contracts prior to date of expiry/ settlement declared by the exchange(s) provided Client makes available sufficient clear funds/delivery adequate for the full settlement price/value of the contract in the running account of the Client with the Member Broker (five days prior to the date of settlement/expiry declared by the exchange(s).
37. Client agrees that notwithstanding anything stated herein, the responsibility to manage Client's open positions/ contracts shall be of the Client alone. Client agrees and understand that member may not square off / close any or all open positions/ contracts of the Client notwithstanding that, the Client has not given written advise that Client desires a delivery of commodities to be given / taken &/or Client's advice is not supported by required clear funds/securities / commodities &/or the margin or other payments / securities / commodities required for any open positions/ contracts are not made available by the Client. In such circumstances Client agrees to give &/or take the delivery as per contract specifications with attendant costs and expenses or in the alternative pay penalty if permitted under the procedures (including but not limited to exchange byelaws and regulations etc) and losses / profits there from shall be entirely to Client's account.
38. Client agrees that Client may be required to have its duly authorised agent to carry the work for effecting / taking the deliveries of commodities, if they do arise. Client agrees that if Client fails to advise the Member at least 5 (five) days in advance of any delivery receipt / transfer in writing the details of the agent who shall undertake the relevant activities for and on behalf of the Client, the member shall stand authorised to appoint an agent on Client's behalf. Client agrees not to hold member responsible for any acts of omission / commission or deficiencies in the services of the person who is appointed as

agent for and on behalf of the Client by the member. Client agrees that such agent appointed by member shall be Client's direct agent and not a sub-agent and Client shall be directly responsible for all acts of omission and commission of the agent appointed for and on behalf of the Client by the member. Client agrees never to call into question any of the acts of agent appointed by member and agrees to bear any & all losses which may occur on account of action taken / omitted by said agent. Client agrees that all charges, cost, levies and taxes etc associated with or incidental to the deliveries including cost/fee/ charges of agent appointed for and on behalf of the Client by the member shall be fully borne by Client alone. Client undertakes to indemnify the Member Broker for any penalty/ charges which might be levied by any regulator i.e. SEBI/Exchange for non-adherence by the Client with any rules / regulations / circulars/instructions etc. issued by such regulator.

39. In this Agreement, unless the context otherwise requires:

Word denoting the singular number shall include the plural and vice versa. The pronouns "he" "she" "it" and their cognate variations are used as interchangeable and should be interpreted in accordance with the context. Words denoting a person shall include an individual corporation, company, partnership, trust or other entity; provided however that clauses specifically applicable to a company or body corporate shall not apply to any other entity. References to the word "include" or "including" shall be construed without

limitation. Reference to any party to this agreement or any other agreement or deed or other instrument shall include its success on or permitted assigns. Reference to recitals and clauses shall be deemed to be a reference to the recitals and clauses of this agreement. Reference to any enactment shall be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order, notification, circular or other provision made under it. Heading or bold typeface, if used, are only for convenience and ease of reference and shall be ignored for the purposes of construction or interpretation of any provision of this Agreement. The word "margin" includes margin requirement, including peak margin and as applicable in cash and derivative segments at relevant places.

40. The Client confirms having read and understood the terms & conditions of this Agreement, Rights and Obligations, Risk Disclosure Document, Guidance Note, Policies and Procedures and other relevant document(s) provided to the client as part of the account opening form and accepts and agrees to be bound by the terms and conditions including those excluding /limiting the Member Broker's and Exchange's liabilities.

IN WITNESS thereof the parties of the Agreement have caused these presents to be executed as of the day and year first above written.

Signed and Delivered by			
R K Global Shares & Securities Ltd.			
Authorised Signatory			
Place of execution		Date of execution	
WITNESS :	Name and Signature (on behalf of Member Broker)		
Signature			
Name			
Address			

Signed and Delivered by			
Client- Name and Signature			
Signature  (21)			
Client Name			
Place		Date	
WITNESS :	Name and Signature (on behalf of Client)		
Signature			
Name			
Address			

Note: All references to the specific quantity / rate / fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

Annexure A

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

Signature of Client

 (22)

Name:

Client Code:

Date:

STANDING INSTRUCTIONS/AUTHORISATION LETTER

To

R K Global Shares & Securities Ltd.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 | Phone: +91-22-4210 5555

SUBJECT: STANDING INSTRUCTIONS/AUTHORISATION LETTER

UCC: _____

I/We have been /shall be dealing through you as my/our Broker on the Equity / Commodity Exchange(s) such as NSE/BSE/MCX/MSEI. As my/our Broker, I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

1. I/We understand that you require written instructions for placement/modifying/canceling orders. However, since it is not practical to give written instructions for order, I/We, in terms of the Rights & Obligations of Stock Brokers, Authorized Persons & Clients, as prescribed by SEBI, hereby authorize you to kindly accept my/our and or my/our authorized person's verbal instructions / orders in person or over phone and execute the same. I/We understand the risk associated with verbal orders and accept the same. I/We agree that I/We shall not be entitled to disown the trades so executed through verbal orders/instructions or ask for proof of placement of orders. However, I/We shall have right to contest discrepancy, if any, within 24hrs of your confirming the trades so executed in my/our said UCC through SMS or ECN, in terms of various clauses, specifically clause 16.6, of the Contract between Member Broker and Client and other documents executed. I/We also understand that the above authorization can be revoked by me/us at any time by giving notice through physical letter by registered A.D. at your above mentioned address
2. I/We specifically agree that no interest, for any reason, shall be payable to me/us on any amount or credit balance lying with MEMBER BROKER.
3. Transfer funds and/or securities from my/our account/running account in the Capital Market Segment to my/our Derivatives running account and viced versa whenever applicable and found necessary by you.
4. I agree that any loss due to any erroneous order entry/erroneous order modification shall be entertained by R K Global Shares & Securities Limited only to the extent of insurance received.
5. Send my/our contract notes electronically on my/our email id viz, I/We agree not to hold you responsible for late/non-receipt of the same for any reasons including failure of email servers, loss of connectivity or the mail box being full or otherwise becoming incapable for receiving the contract note email or due to any technical reasons beyond your control. I/We shall completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of email to me/us and will not disputes the same. In the event of my/our changing the email address, I/We will inform the same in writing by either registered post or through a digitally signed email.
6. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, Leaseline, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, payin payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/We understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in understand that you are not making any representation or warranty that your service will be available to the clients at times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you account of any suspension, delay, interruption, non availability or malfunctioning of your system or service for any reason whatsoever.
7. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
8. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
9. All fines/penalties and charges levied upon you due to my acts/deeds or transaction may be recovered by you from my account.

17. I have a trading as well as depository relationship with R K Global Share & Securities Ltd. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reason.

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

I/We have signed/submitted this document at my/our own volition.

Thanking you,
Yours faithfully,

Signature of Client

 (23)

Name :

Date :

RUNNING ACCOUNT AUTHORISATION

To

R K Global Shares & Securities Ltd.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 | Phone: +91-22-4210 5555

SUBJECT: RUNNING ACCOUNT AUTHORISATION

UCC: _____

I/We have been / shall be dealing through you as my/our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/MSEI and I / we further authorize you to follow these instructions across exchanges & across segments in which I / we have already opened accounts with you or I/We may open account in future. As my/our Broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/am/We are aware that you and I/we have the option to make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds. Further, I/we also desire to use my/our funds as margin without which I/We cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive funds in settlement of trades/ dealings please keep the funds with you and make credit entries for the same in running accounts of funds maintained by you for the purpose of any obligations due to me/us. In view of the same it would be proper for you to release the funds due to me/us on my/our specific, either written or verbal instructions. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion please treat my/our funds lying to my/our credit in running accounts as margin for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you. Further I/We understand and agree that any credit amount with you will not attract any interest.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. You may also retain such other funds as may be specified by the exchanges from time to time. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds displaying all receipts/payments of funds. Please explain in the statement(s) being sent the retention of funds and the details of the pledged securities, if any. I/We agree that I/we shall bring any discrepancy(ies)/dispute in the/arising from the statement of retention of funds or statement of funds or settlement so made to your notice, preferably, within 30 working days from the date of receipt of funds or statement of retention of funds, as the case may be, in writing, through Registered A.D./Speed Post at your corporate office or through email at care@rkglobal.in from my/our registered email id. Further, do not carry out settlement of running account referred to above for funds given by me/us towards margin in the form of Fixed Deposit receipts (FDR).

Notwithstanding anything contained anywhere in the above authorization signed by me/us, this Running Account Authorisation shall not be applicable in case of any purchases of securities in cash segment or in F&O segment (under physical settlement) and pledged to Client Unpaid Securities Pledge Account (CUSPA). The securities pledged in the (CUSPA) shall be settled as per the rules, regulations & guidelines of the exchanges/SEBI. I/We further agree that the funds shall be returned to me/us if I/we have not done any transaction in the 30 calendar days since the last transaction, within three working days irrespective of the date when the running account was previously settled or within the period as may be specified by SEBI/Exchanges from time to time.

Please further note that while I/We am/are entitled to revoke this authorisation at any time, by sending signed physical letter of revocation, through post / courier at your above mentioned address.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/funds under this agreement.

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

☐ Once in a Calendar Quarter☐ Once in a Calendar Month

Thanking you,
Yours faithfully,

Signature of Client

 (24)

Name : Date :

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

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS

To

R K Global Shares & Securities Ltd.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 | Phone: +91-22-4210 5555

SUBJECT: AUTHORISATION FOR ELECTRONIC CONTRACT NOTES (ECN)/OTHER DOCUMENTS

UCC: _____

I/We have been / shall be dealing through you as my / our Broker on various equity/commodity exchange(s) such as NSE/BSE/MCX/NCDEX/MSEI. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you &/or I/We may open account in future with you. As my / our Broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

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

1. _____

2. _____

I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations. I/we am/are aware that this declaration form should be in English or in any other language known to me/us.

I/ We agree not to hold you responsible for late / non-receipt of contract notes/other documents/communication sent in electronic form for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/ we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes & other communication/document to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me / us on account of any non-receipt/ delayed receipt for any reason whatsoever.

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

I/We also agree that in case, you want to send contract notes/other documents/communication in physical form in any of the above segments / exchanges due to any reason, whatsoever, including bouncing of email, I / we here by permit you to send the same in physical mode and the charges, if applicable, shall be debited to my/our account.

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

I/We agree that till the time the change in email address(s) is not updated in your records, the ECN and other documents sent to existing email address (s) with you shall be deemed to be a valid delivery and I/We shall not hold you responsible for any direct or indirect consequences faced by me/us on this account.

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

I/We have signed/submitted this document on my/our own volition.

Thanking you,
Yours faithfully,

Signature of Client



Name : _____

Date : _____

Note :

1. To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
2. You can revoke ECN facility and opt for the Contract Note in the physical form only by giving 7 working days notice to the member broker through Registered A.D./Speed Post at the above mentioned address and copy of the same would be retained by you.
3. In case, due to any reason, whatsoever, including bouncing of email, if contract note is sent in physical form, charges, if applicable, shall be debited.

MUTUAL FUND FACILITY

Date : _____

To

R K Global Shares & Securities Ltd.

Regd. Office: 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 | Phone: +91-22-4210 5555

Sub : Mutual Fund Service System (MFSS)Facility/ BSE StAR Mutual Fund Facility & other MF approved platform.

Sir,

I/We _____ am/are registered as your client with UCC No. _____ for the purpose of trading in the Capital Market segment and/or Derivatives segment. I/We am/are interested in availing the trading facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and/or BSE StAR MF and/or other MF. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of this facility 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 NSE Circular dated November 24, 2009, BSE circular dated December 2, 2009 and as may be specified by the Exchanges 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 of the Scheme Information Document and Key Information Memorandum, addenda 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 agree and authorize you to issue payment on my behalf by debiting my account with the value of my/our transactions along with charges.

I/we therefore request you to register me/us as your client for participating in mutual fund trading facility of exchanges.

Details of terms & conditions for the Investor / Client for using MFSS facility BSE StAR MF & other MF Platform

- I. Pre-requisites for becoming Investor / Client for the MFSS facility/ BSE StAR MF /other MF platform.
 - I.1. The client who is desirous of investing in units of mutual fund schemes through the MFSS /BSE StAR/other MF platform.
 - I.2. The Client intends to execute his instruction for the subscription/ redemption of units of Mutual Fund Schemes through the broker who is a Mutual fund Intermediary (MFI) of the MFSS /BSE StAR/other MF platform
 - I.3. The client has satisfied itself of the capacity of the MFI to deal in Mutual Fund units and wishes to execute its instruction through the MFI and the client shall from time to time continue to satisfy itself of such capability of the MFI before executing transacting through the MFI.
 - I.4. The Client has approached to the MFI with the application for availing the MFSS facility/BSE StAR/other MF platform
 - I.5. The client has submitted relevant KYC (Know Your Client) details to the MFIs
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars/ notices issued by NSEIL/BSE from time to time including the Circulars issued by NSEIL/BSE and 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 MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the MFI at the time of registering as a client for participating in the MFSS / BSE STAR/other MF platform or at any time thereafter.
 - 2.3. The client shall submit to the MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the MFI
 - 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 Exchanges, SEBI and AMFI.
 - 2.7. The Client shall pay to the MFI 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 MFI renders to the Client.
 - 2.8. The client will furnish information to the MFI 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 non-performance of the obligation by the MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/BSE or NSCCL/ Indian Clearing Corporation Ltd. (ICCL), other exchanges/Clearing Corporation.
 - 2.10. In case of any dispute between the MFIs and the investors arising out of the MFSS facility/ BSE StAR/other MF platform, exchanges and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature of Client



Client Name _____

1. Refusal of orders for penny /illiquid stock Penny stocks/illiquid Commodities/Commodity Contracts are defined as the stocks/commodities appearing in the list of illiquid Securities / Commodities issued by the exchange(s) every month. The Member Broker may from time to time limit (quantity/value)/refuse orders in one or more Securities /Commodities due to various reasons including market liquidity, value of security(ies) / Commodity(ies) limit ,if any, defined by the exchange either clientwise or memberwise, the order being for Securities /Commodities which are not in the permitted list of the Member Broker/exchange(s)/SEBI, provided further that Member Broker may require compulsory settlement/advance payment of expected settlement value/delivery of Securities / Commodities for settlement prior to acceptance/placement of orders as well. The client agrees that the losses, if any, on account of such refusal shall be borne exclusively by the client alone. The Member Broker may require reconfirmation of orders, which are larger than that specified by the Member Broker's risk management, and the Client is also aware that the Member Broker has the discretion to reject the execution of such orders based on its risk perception.
2. **Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing positions of a client**

The Member Broker may from time to time impose and vary limits on the orders (including but not limited to exposure limits, turnover limits, limits as to the number, value and/or kind of Securities / Commodities/ Commodity Contracts in respect of which orders can be placed etc.), which the Client can place through the Member Broker. The Client is aware and agrees that the Member Broker may need to vary or reduce the limits or impose new limits urgently on the basis of Member Broker's risk perception and or other relevant factors including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.) and the Member Broker may be unable to inform the Client of such variations, reductions or impositions in advance. The Client understands & further agrees that the Member Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the clients ability to place orders or trade in Securities / Derivatives / Commodities Contracts through the Member Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/Security or the order being outside the limits set by Member Broker/exchange /SEBI and any other reasons which the Member Broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone and further agrees that Member Broker shall not be liable for or responsible for such variations, reductions or impositions or the Client's inability to route any order through Member Broker on account of any reason but not limited to any such variations, reductions or impositions of limits.

The Member broker shall have the prerogative to allow differential

purchase/sell limits and or exposures varying from client to client, depending upon credit worthiness, integrity and past conduct of each client.

The member broker may close the existing position of the client without any prior notice wherein the outstanding position of the client is increased in the scrip wherein the scrip is in ban period, due to increase in open interest exceeding stipulated marketwide limit of that scrip or for any other reason, in Future & Option/Currency Derivatives Segment. The exchange(s) may cancel the trade suo-moto without giving any reason thereof. The Member Broker shall be entitled to cancel such relative contract with the Client. The Member Broker shall not be liable for any losses, damage or claims on account of such rejection or cancellation of any trade for any reason whatsoever. The Member Broker is required only to communicate /devise the parameters for the calculation of the margin /security requirements as rate(s) /percentage(s) of the dealings, through any one or more means or methods such as post/speed post/courier/registered post/registered A.D./facsimile /telegram/cable/ email/voice mails/ telephone (telephone includes such devices as mobile phone etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the clients computer; by informing the client through employees /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker /making it available as a download from the website of the Member Broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/ newspaper advertisement etc; or any other suitable or applicable mode or manner. The client agrees that the postal department /the courier company /newspaper company and the email/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company /the email/voice mail service provider, etc. by the Member Broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her its position(dealings/trades and valuation of security) on his/her /its own and provide the required /deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to the effect is sent by the Member Broker to client and /or whether or not such communication to that effect is sent by the Member Broker to the client and/or whether or not such communication is received by the client.

The Client is not entitled to trade without adequate margin, however, the Client is responsible for all orders, including any orders that may be executed without the required Margin in the Client's account. The Client shall also be responsible for any claims/loss/damage arising out of the non availability /shortage of margin/security required by the Member Broker and or exchange(s) and or SEBI or any other regulatory authority. Further, it shall be his/her/its responsibility to ascertain before hand the margin/security requirements of his/her/its orders/trades/deals and to ensure that the required margin is made available to the Member Broker in such form and manner as may be required by the Member Broker. If the

Client's order is executed despite a shortfall in the available Margin, the Client shall, whether or not the Member Broker intimates such shortfall in margin to the Client, instantaneously make up the shortfall either through delivery of Securities / Commodities in the event of a sale or credit the required funds in the bank account via EFT (Electronic Fund transfer) including Electronic Payment Gateway or personal cheque or Banker's cheque or draft. The client agrees to have disclaimed and waived off any right to disown the transactions /orders executed by the Member Broker under the plea that same were executed without adequate margin.

The Member Broker may at its sole discretion prescribe the payment of margin in the form of funds and/or Securities / Commodities and or any other asset acceptable to Member Broker. The Client accepts to comply with the Member Broker's requirement of payment of Margin in the form of funds and or Securities / Commodities and or any other asset acceptable to Member Broker immediately failing which the Member Broker may sell, dispose, transfer or deal in any other manner the Securities / Commodities and or any other asset already placed with the Member Broker on any account or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off / sale shall be borne by the Client, and the Member Broker is hereby fully indemnified and held harmless by the Client in this behalf.

The margin/security/funds deposited/due by/to the client with the Member Broker shall not be eligible for any interest.

The client agrees that all Securities / Commodities and or monies and or assets belonging to the client which are deposited and or submitted and or under the control or possession of the Member Broker shall be subject to a general lien and /or set off, for discharge of any obligation or indebtedness, in any exchange/segment, in which client is / will be dealing. The Client authorize the Member Broker to inter-se transfer or hold funds, Securities / Commodities, debits, credits etc. amongst the exchanges/segments for which the Client has been dealing and or shall be dealing with the Member Broker. In enforcing the right of lien and /or set off, the Member Broker shall have the sole discretion of determining the manner and time in which the Securities / Commodities and or monies and or assets are to be appropriated/liquidated.

The Member Broker is entitled to include/appropriate any/all payout of funds and or Securities / Commodities towards margin/security without requiring specific authorizations for each pay out. The Member Broker is entitled to disable/freeze the account and or trading facility or any other services/facilities, if, in the opinion of the Member Broker, the Client has committed a crime/fraud or has acted in contradiction of the agreement/contract or is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or Foreign or if the Member Broker so apprehends.

3. Applicable brokerage rate

Brokerage shall be applied as per the rates agreed upon with the client. The rate of brokerage shall not exceed the maximum brokerage permissible under exchange rules, regulations byelaws, notices and circulars issued by exchange from time to time.

4. Imposition of Penalty/delayed payment charges:

Any amounts which are overdue from the Client on account of any reason, including margin obligations, to the Member Broker without prejudice to the other rights of the Member Brokers the client will be charged with delayed payment charges at the rate of 1.5% per month or any other rates as may be mutually agreed between the client and the Member Broker. The Client hereby authorizes the Member Broker to directly debit the same to the account of the Client on daily product basis.

The Client undertakes to indemnify the Member Broker for any penalty/ charges/fines which might be levied by any regulatory authority i.e. SEBI/Exchange for non-adherence by the Client with any rules /regulations/ circulars/instructions etc. issued by such regulatory authority. The Client agrees that Member Broker reserves the right to recover from the client any penalty/charges/fines imposed by the exchanges/depositories/SEBI/other authority on the Member Broker for any orders/ trades/deals/actions of the Client which are contrary to rules/ regulations/bye laws of the exchange/law for the time being in force.

The Client shall, at all time, be liable to pay Member Broker all relevant charges, fees, levies, duties apart from brokerage, exchange related charges, commissions, statutory charges such as GST and other taxes and transaction expenses as may be agreed between the Client and the Member Broker from time to time and or imposed by any regulatory authority including but not limited to the stock exchanges (including any amount on account of reassessment or backlogs etc.) and or notified by Member Broker on the website(s) and or sent by electronic communication(s) and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the MEMBER BROKER.

The client understands that Member Broker is committed to provide the high quality services to clients. Since Member Broker incurs expenditure to provide requisite customized services e.g. Home service to collect delivery instruction slips(DIS), home delivery of payment of cheques, reminder of delivery shortages, updation of balances of clients on their mobile, back office access on internet to clients, transfer of payment to clients account, organizing seminars, arranging meetings with analysts and other allied services etc. The client agrees and authorizes Member Broker to recover such cost from clients by levying other charges as maybe agreed between the Client and the Member Broker from time to time and or notified by Member Broker on the website(s) and or sent by electronic communication and or sent by any other mode from time to time and in the event of default of payment of any of the above mentioned charges, without prejudice to the other rights of the Member Broker.

5. The right to sell clients' Securities / Commodities or close clients ' positions, without giving notice to the client, on account of non-payment of client's dues

The client shall ensure timely availability of funds/Securities /Commodities in designated form & manner at designated time & in designated bank(s) & depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and Securities / Commodities. The Member Broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/Securities / Commodities by the client in the designated account(s) of the Member Broker for meeting the

pay in obligation of either funds or Securities / Commodities. If the client gives orders/trade in anticipation of the required Securities / Commodities/funds being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of Securities / Commodities/funds for pay in for any reason whatsoever including but not limited to any delays/shortage at the exchange or Member Broker level/non release of margin by the Member Broker etc., the losses which may occur to the client as a consequence of such shortage in any manner such as on account of auctions/square off/close outs etc., shall be solely to the account of the client and the client agrees not to hold the Member Broker responsible for the same in any form or manner whatsoever.

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

When the margin is made available in form of Securities / Commodities or any other property by the Client, the Member Broker is empowered to decline its acceptance as margin. The Client agrees and authorizes the Member Broker to determine the market value of Securities / Commodities placed as Margin after applying a haircut that the Member Broker may deem appropriate or by marking it mark to market or by any other method as the Member Broker may deem appropriate. The Client's positions are valued at the latest market price available ('mark to market') on a continuous basis by the Member Broker. The Client undertakes to monitor the adequacy of the collateral and the Market value of such Securities / Commodities on a continuous basis. If due to any reason but not limited to price fluctuations, there is erosion/shortfall in the value of the margins, the Client agrees to replenish any shortfall in the value of the margins immediately, whether or not the Member Broker intimates such shortfall.

The Client hereby authorizes the Member Broker to square up/sell/liquidate all his/her/its outstanding positions/ Securities / Commodities and to cancel all pending orders at the discretion of the Member Broker, for any reason including the following (a) which are not marked for delivery 15 minutes before the closing time of the relevant segment (s) of the exchanges or any other time which the Member Broker may notify through electronic communication or otherwise from time to time; or (b) when mark to market (MTM) percentage reaches or crosses stipulated percentage mentioned on the website or any other percentage which the Member Broker may notify through electronic communication or otherwise. The Member Broker will have the sole discretion to decide above referred stipulated percentage/time depending upon the market condition. Any direct or indirect loss arising out of square off/cancellation shall be at the risk of and shall be borne by the Client.

In case any open position (i.e. short or long) gets converted into delivery due to non-square off because of any reason whatsoever, the client agrees to provide Securities / Commodities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal closeouts. In addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the Client is liable for all and any penalties/charges/fees/fines levied by the

exchange(s).

Without prejudice to the Member Broker's other rights including the right to refer the matter to Arbitration, if payment / Securities / Commodities towards the Margin and or shortfall in Margin and or any other payment obligation of the Client towards the MEMBER BROKER is not received instantaneously to enable restoration of sufficient Margin/balances in the Client's account with the MEMBER BROKER, without any reference or prior notice or communication to the Client, the Member Broker has the right but not the obligation to take one or more of the following steps:

- (i) All or some of the positions/Securities / Commodities/shares of the Client as well as the Securities / Commodities placed as Margin or otherwise including but not limited to Securities / Commodities which are pending delivery/receipt with Member Broker may be liquidated/closed by the Member Broker at its sole discretion and at such rate and time as the Member Broker may deem fit.
- (ii) To withhold any payout of funds/Securities / Commodities.
- (iii) To withhold/disable the trading/dealing facility to the client.
- (iv) To cancel all pending orders.
- (v) To take any other steps which in the given circumstances, the Member Broker may deem fit.

The resultant or associated losses that may occur due to such squaring off/cancellations and or sale of Securities / Commodities/positions shall be borne by the Client and the Member Broker is hereby fully indemnified and held harmless by the Client in this regard. Such liquidation and or close out or cancellations of such Securities / Commodities/positions shall apply to any segment/ exchange in which the Client does business with the Member Broker.

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

Any reference to sale or transfer of Securities / Commodities and or any other asset by the Member Broker shall be deemed to include sale or transfer of all the Securities / Commodities and or any other asset lying with MEMBER BROKER for any reason/account including which form the part of the Margin maintained by the Client with the Member Broker. In exercise of the Member Broker's right to sell or transfer Securities / Commodities and or any other asset, the Client agrees that the choice of specific Securities / Commodities and or any other asset to be sold or transferred shall be solely at the Member Broker's discretion.

The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) shall be settled as under:

- i) The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the payment is made/credit balance is available, in full on or before pay in day shall be transferred to beneficiary demat a/c of the client from Pool a/c within 24 hours of payout.
- ii) The Securities / Commodities purchased by the client in CM Segment and or F&O segment (under physical settlement) for which the full credit balance is not available in the account of the client or the payment is not/partially made by the client, shall be pledged to Client Unpaid Securities Pledgee

Account (CUSPA)

- iii) The Securities / Commodities lying in the (CUSPA) shall be unpledged to the beneficiary demat account of the client only on the receipt/availability of full amount from the client
- iv) The Securities / Commodities lying in the (CUSPA) shall be liquidated to the extent of debit balance within 5 trading days from the pay-out date of such Securities / Commodities without further notice to the client and the Securities / Commodities so liquidated shall be unpledged to beneficiary demat account of the client for meeting payin obligation. No Securities / Commodities shall be remained pledged in (CUSPA) for more than 5 trading days from the pay-out date of such Securities / Commodities.
- v) The choice of selection of Securities / Commodities to be liquidated against debit balance from (CUSPA) will be at the sole discretion of the Member Broker depending upon the liquidity of the scrip, volatility in the market or any other factor as the Member Broker deem fit in each case.
- vi) The Securities / Commodities of the client can be transferred in the beneficiary demat account of the client without/partial receipt of the payment at the sole discretion of the Member Broker in those cases where the said Beneficiary Demat Account is opened with Member Broker DP and the client has given DDPI authorisation/executed Power of Attorney (POA) in favour of R K Global Shares & Securities Ltd. Limited.

6. Shortage in obligations arising out of internal netting of trades

The Client agrees that, the Member Broker shall not be obliged to deliver any security or pay any money to the Client unless and until a) the same has been received by the Member Broker from the exchange/ the clearing corporation / clearing member or entity liable to deliver the security and/or make payment the; and b) after the Client has fulfilled his / her / its obligations first.

Cash Segment

The Client agrees that, in case the Client buys Securities in cash segment of the exchanges in one settlement, and sells the same in any subsequent settlement, without having received the payout of the Securities from the Exchange, any resulting auction by the Exchange and consequent losses will be the borne by the Client.

The Client agrees that in following cases;

- a) where he/she/it has made any purchase of Securities in Cash segment of the exchanges and the delivery of the same falls short at inter-client level (i.e. internal short) of the Member Broker;
- b) where he/she/it has made any sale of Securities and due to any exigencies he/she/it is/are unable to make available the delivery of the same in the designated account with in the designated time and it results in an inter client short delivery (i e internal short) at Member Broker level;
- c) where Securities having corporate actions; all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date;

The Member Broker is authorized to close out the transaction at rate which is higher of i) auction day closing rate +20% or ii) seller's rate or iii) buyer's rate or iv) at a price Member Broker deems fit for close out of said Securities.

Derivatives Segment

The Client further agrees that, in following cases:

- a) where he/she/it has bought futures/ call options &/or sold put options in equity/commodity derivative segment of the exchanges, the delivery of which results in physical settlement of securities/commodities and delivery falls short with Member Broker level, either at inter-client level (i.e. internal short) of the Member Broker or at inter-client level (i e internal short) of the Clearing Member affiliated to the Member Broker;
- b) where he/she/it has sold futures/ call options &/or bought put options Contract in equity/commodity derivative segment which is results in physical settlement of securities/commodities and due to any exigencies he/she/it is/are unable to make available the delivery of the same in the designated account with in the designated time and it results into inter client short delivery (i.e. internal short) at Member Broker/Clearing Member level;
- c) where Securities having corporate actions; all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date;

Member Broker/Clearing Member, as the case be, is authorized to close out the transaction at rate which is **higher** of i) auction day closing rate + upto 20% (or any other rate communicated by the Member Broker/Clearing Member/Exchanges from time to time) or ii) seller's rate or iii) buyer's rate or iv) at a price Member Broker deems fit or v) as communicated by the Clearing Member for close out of said Securities/Commodities.

The Client agrees that he/she/it will not dispute, any close out amount / penalty so debited to him/her/it, as above in any segment, by the Member Broker/Clearing Member, under any circumstances.

7. Policy for Inactive Clients (Dormant Account)

Client status is observed on monthly basis & clients who have not traded during the last Twenty Four (24) Months are marked "inactive" as "Dormant" in the back office as well as UCC database of the respective exchanges & funds payable to the client and Securities / Commodities, if any, pledged/re-pledged will be de-pledged after deducting demat or any other charges due from the clients. The files uploaded on the trading servers on daily basis update the current status on the terminals. Whenever a client who is marked inactive as dormant intends to trade, the details of the client viz. Address, Contact No., Demat & Bank account etc. will be confirmed & a written request for re-activation of the account will be taken before executing any trade in that particular client code. In person verification (IPV) will also be done at the time of reactivation of account where the trade has not been done for more than two years in the said account. In case of any change, the updation form along with the supporting documents will be taken. In case of very old dormant a/c, the entire KYC Form will required to be taken along with the other supporting documents.

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

- 1. The client may request the Member Broker to temporarily suspend his/her/its account, Member Broker may do so subject to client

accepting/adhering to conditions imposed by Member Broker including but not limited to settlement of account and/or other obligation.

- ii. The Member Broker can with hold the payout of client and suspend his/her/its trading account due to his/her/its surveillance action or judicial or/and regulatory order/action requiring client suspension.
- iii. Temporarily suspending or closing a client's account at the Member's discretion "The Member Broker may suspend the account of the Client in following circumstances:
 - a. Where the client is inactive for the past Twenty Four (24) Months with observation period being the month end.
 - b. Based on recommendations made by the Branch Head due to any reason including but not limited to excessive speculations, uncleared balances etc.
 - c. Physical Contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion, after close out of open positions, selling/liquidation of client collaterals/ Securities / Commodities/shares or square off due to any reason whatsoever.
 - d. Bounced emails on more than 3 instances until the client submits and registers new email id.
 - e. Non delivery of periodic statement of accounts sent on periodic basis
 - f. Non updation of communication details viz. email id, mobile number, land line phone number or if it is found to be belonging to some third person.
 - g. Client places a complaint either directly to the Member Broker or the exchange(s) relating to alleged unauthorised trades being executed in his/her/its account.

9. De-registering a client

Notwithstanding anything to the contrary stated in the agreement / contract, the Member Broker shall be entitled to terminate the agreement/contract with immediate effect in any of the following circumstances:

- i. If the action of the client are prima facie illegal/improper or such as to manipulate the price of any Securities /Commodities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force.
- iii. On the death/lunacy or other disability of the client.
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client.
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client

and/or its partners for dissolution of the partnership;

- vii. If the Client has taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, including (without limitation) in relation to the security;
- ix. If there is reasonable apprehension that the Clients is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement/contract with the Member Broker;
- xi. If the Client is in breach of any term, condition or covenant of the agreement/contract;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Client Acceptance of Policies and Procedure stated hereinabove:

I/We have fully understood the same and do hereby sign the same. These Policies and Procedure may be amended/changes unilaterally by the Member Broker, provided the change is informed to me/us through any one or more means or methods such as post/speed post/courier/registered post/registered A.D/Facsimile/email/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employee /agents of the Member Broker; by publishing/displaying it on the website of the Member Broker/making it available as a download from the website of the branch /office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast /newspaper advertisements etc; or any other suitable or applicable mode of manner. These Policies and Procedure shall always be read along with the agreement/contract and shall be referred to while deciding any dispute /difference or claim between me/us and Member Broker before any court of law/judicial adjudicating authority including arbitrator /mediator etc.

If any of the term(s)/ clause(s) or part of any term/ clause of the Policies & Procedures, is/are held to be contravention of /in conflict with any of the provision(s)/clause(s) in mandatory documents, as also the Rules, Regulations, Articles, Byelaws, circulars, directives, notices and guidelines and issued by the Regulator and Exchange(s) or held invalid or unenforceable by reason of any law, rule, administrative order or judicial decisions by any court, or regulatory or self-regulatory agency or body, such contravening term(s)/clause(s) or part of term/clause of the Policies & Procedures shall be null & void. The validity of the remaining term(s)/clause(s), however, shall not be affected thereby and these term(s)/clause(s) shall be carried out as if any such contravening/invalid/unenforceable terms(s)/ clause(s) or part of such term/clause were not contained herein.

Signature of Client



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.
37. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

38. 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.
39. 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.
40. 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.
41. 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.
42. 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.
43. 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

44. 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.
45. 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.
46. 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.
47. 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.
48. 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.
49. 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 derivatives 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:-

I. BASIC RISKS:

I.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.

I.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.

I.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.

I.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.

I.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.

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.nseindia.com, www.bseindia.com, www.mseil.in 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)/Demat Debit and Pledge Instruction (DDPI) 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.

RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS (COMMODITY)

as prescribed by SEBI and Commodity Exchanges

1. The client shall invest/trade in those commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules/ Regulations of Exchanges/SEBI and circulars/notices issued there under from time to time.
2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules 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 himself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member 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 Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
6. Requirements of professional diligence
 - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
 - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with
 - i. honest market practice;
 - ii. the principle of good faith;
 - iii. the level of knowledge, experience and expertise of the Client;
 - iv. the nature and degree of risk embodied in the financial product* or financial service being availed by the Client; and
 - v. the extent of dependence of the Client on the Member.
- *Commodity derivative contract
7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

CLIENT INFORMATION

8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/SEBI from time to time.
9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory; therefore, subject to specific acceptance by the client.
10. The client shall immediately notify the Member 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 Member on a periodic basis.
11. A. Protection from unfair terms in financial contracts**
 - a. An unfair term of a non-negotiated contract will be void.
 - b. A term is unfair if it—
 - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
 - ii. is not reasonably necessary to protect the legitimate interests of the Member.
 - c. The factors to be taken into account while determining whether a term is unfair, include—
 - i. the nature of the financial product or financial service dealt with under the financial contract;
 - ii. the extent of transparency of the term;
**contracts offered by commodity exchanges
 - iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
 - iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
 - d. A term is transparent if it—
 - i. is expressed in reasonably plain language that is likely to be understood by the Client;
 - ii. is legible and presented clearly; and
 - iii. is readily available to the Client affected by the term.
 - e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.
 - B.
 - a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes—
 - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
 - ii. a standard form contract.
 - b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C.
 - c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a nonnegotiated contract if so indicated by—
 - i. an overall and substantial assessment of the financial contract; and
 - ii. the substantial circumstances surrounding the financial contract
 - d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.
 - C.
 - a. The above does not apply to a term of a financial contract if it—
 - i. defines the subject matter of the financial contract;
 - ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
 - iii. is required, or expressly permitted, under any law or regulations.
 - b. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person 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 Member may so disclose information about his client to any person or authority with the express permission of the client.
 13. A. Protection of personal information and confidentiality
 - a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes—
 - i. name and contact information;
 - ii. biometric information, in case of individuals
 - iii. information relating to transactions in, or holdings of, financial products
 - iv. information relating to the use of financial services; or
 - v. such other information as may be specified.
 13. B.
 - a. A Member must—
 - i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
 - ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13. B. b.;
 - iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
 - iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
 - v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.
 - b. A Member may disclose personal information relating to a Client to a third party only if—
 - i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
 - ii. the Client has directed the disclosure to be made;
 - iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
 - v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member—
 1. informs the Client in advance that the personal information may be shared with a third party; and
 2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
 - vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part.-
 - c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.
 14. A Requirement of fair disclosure both initially and on continuing basis
 - a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
 - b. In order to constitute fair disclosure, the information must be provided—
 - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
 - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
 - c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding—
 - i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
 - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
 - iii. existence, exclusion or effect of any term in the financial product or financial contract;
 - iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
 - v. contact details of the Member and the methods of communication to be used between the Member and the Client;
 - vi. rights of the Client to rescind a financial contract within a specified period; or
 - vii. rights of the Client under any law or regulations.
 14. B.
 - a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures—
 - i. any material change to the information that was required to be disclosed under point 14. A at the time when the Client initially availed the financial product or financial service;
 - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and
 - iii. any other information that may be specified.
 - b. A continuing disclosure must be made—
 - i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
 - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.
- ### MARGINS
15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member 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 Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
 16. 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

17. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
18. The Member 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 commodity exchange where the trade is executed.
19. The Member shall ensure that the money 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 Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of SEBI and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.
20. 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, Member shall be entitled to cancel the respective contract(s) with client(s).
21. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules 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 Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

22. The Client shall pay to the Member 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 Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

23. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member shall be entitled to liquidate/close out all or any of the client's positions for nonpayment 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.
24. 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 commodities which the client has ordered to be bought or sold, Member 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 therefrom. The client shall note that transfer of funds/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

DISPUTE RESOLUTION

25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
26. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
27. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.
28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients
 - a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.
 - b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of—
 - i. the Client's right to seek redress for any complaints; and
 - ii. the processes followed by the Member to receive and redress complaints from its Clients.
29. A Suitability of advice for the Client

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Clients financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

 - a. A Member must—
 - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
 - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
 - b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.
 - c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member—
 - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
 - ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written acknowledgement from the Client.
30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference much be given to the Client interests.

 - a. A member must—
 - i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and

- ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between —
 - 1. its own interests and the interests of the Client; or
 - 2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.
- b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.
- c. In this section, “conflicted remuneration” means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients, that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

- 31. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.
- 32. The Member, Authorized Person 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.
- 33. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, 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 Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

- 34. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
- 35. The Member shall issue a contract note to his clients 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 Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
- 36. The Member shall make pay out of funds or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may

be, to the Client on 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.

- 37. The Member shall send a complete 'Statement of Accounts' for both funds and commodities 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 immediately but not later than 30 calendar days of receipt thereof, to the Member. A detailed statement of accounts must be sent every month to all the clients in physical form. The proof of delivery of the same should be preserved by the Member.
- 38. The Member shall send margin statements to the clients on monthly basis. 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, warehouse receipts, securities etc.
- 39. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member 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.
- 40. In case, where a member surrenders his/her/its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.
- 41.A. Protection from unfair conduct which includes misleading conduct & abusive conduct
 - a. Unfair conduct in relation to financial products or financial services is prohibited.
 - b. “Unfair conduct” means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes —
 - i. misleading conduct under point 41.B
 - ii. abusive conduct under point 41.C
 - iii. such other conduct as may be specified.
- 41.B.
 - a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves —
 - i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
 - ii. providing accurate information to the Client in a manner that is deceptive.
 - b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be “determinative factors” —
 - i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
 - ii. the Client's need for a particular financial product or financial service or its suitability for the Client;

- iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
- iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
- v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
- vi. the rights of the Client under any law or regulations.

41.C.

- a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it—
 - i. involves the use of coercion or undue influence; and
 - ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
- b. In determining whether a conduct uses coercion or undue influence, the following must be considered—
 - i. the timing, location, nature or persistence of the conduct;
 - ii. the use of threatening or abusive language or behaviour;
 - iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
 - iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including—
 - v. the right to terminate the financial contract;
 - vi. the right to switch to another financial product or another Member and
 - vii. a threat to take any action, depending on the circumstances in which the threat is made.

ELECTRONIC CONTRACT NOTES (ECN)

- 42. 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.
- 43. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the 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.
- 44. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.
- 45. The Member 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/circulars/guidelines issued by SEBI/Commodity 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 Member for the specified period under the extant rules/circulars/guidelines issued by SEBI/Commodity 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 Member 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 rules/circulars/guidelines issued by SEBI/Commodity exchanges.

- 46. The Member 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 Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of SEBI/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
- 47. In addition to the e-mail communication of the ECNs to the client, the Member 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

- 48. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules of SEBI.
- 49. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
- 50. The Member 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, if either party is not satisfied with the arbitration award.
- 51. 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 / Business Rules and circulars / notices issued thereunder of the Exchanges / SEBI.
- 52. All additional voluntary/non mandatory clauses/document added by the Member should not be in contravention with Rules/ Business Rules/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.
- 53. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules and Business Rules of the relevant commodity 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.
- 54. Members are required to send account statement to their clients every month in physical form.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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. Member is eligible for providing Internet based trading (IBT) and commodities 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 Member shall comply with all requirements applicable to internet based trading/- commodities 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 commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.
4. The Member shall make the client aware that the Member'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 Member'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/ commodities 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 Member
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member'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/ commodities 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 Member 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 Member 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 Member and the Exchange do not make any representation or warranty that the Member'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 Member on account of any suspension, interruption, non-availability or malfunctioning of the Member'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/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

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

You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), 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 the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client 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 commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI from time to time and circulars as may be issued by the Exchange from time to time.

The Exchange 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 member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment 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, you should be aware of or must get acquainted with the following:-

I. Basic Risks involved in the trading of Commodity

Futures Contracts and other Commodity Derivatives Instruments on the Exchange.

i. Risk of Higher Volatility

Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ 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 real losses.

ii. Risk of Lower Liquidity

- a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number 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 commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative 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.
- b. Buying/Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. Risk of Wider Spreads

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

iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place "limit orders",

“stop loss orders” etc. Placing of such 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.

- b. 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 commodity derivatives contract.
- c. A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed “away” from the current price of a commodity derivatives contract, and such order gets activated if and when the 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 contract approaches 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 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.

v. Risk of News Announcements

- a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements 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 commodity/ commodity derivatives contract.

vi. Risk of Rumours

- a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours.

vii. System Risk

- a. 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.
- b. 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 execution of order and its confirmation.

- c. 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 commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. System/ Network Congestion

- a. Trading on the Exchange is in electronic mode, based on satellite/ leased line 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 the control of 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 Futures Commodity Derivatives are concerned, please note and get yourself acquainted with the following additional features:-

Effect of "Leverage" or "Gearing":

- a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are 'leveraged' or 'geared'. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one's circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.
- c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be

liable for any losses incurred due to such square-up/Close Outs.

- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the 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.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. TRADING THROUGH WIRELESS TECHNOLOGY OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

4. General

i. Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

iii. For rights and obligations of the Members/ Authorised Persons & clients, please refer to Rights and Obligations.

iv. The term 'Constituent' shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.

v. The term 'member' shall mean and include a Trading Member or a Member/Broker, who has been admitted as such by the Exchange and got a Unique Member Code from SEBI.

ADDITIONAL RISK DISCLOSURE DOCUMENTS FOR OPTIONS TRADING

Annexure I

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.

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.

Do's

1. Trade only through Registered Members of the Exchange. Check from the link page of the relevant exchange website to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading.
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/or other documents executed by you with the Member, from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the link page of the relevant exchange website. The trades can be verified online where trade information is available up to 5 working days from the trade date.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.
22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/guidelines specified by SEBI/Commodity exchanges.
23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be 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) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.
 - c) In case you have not opted for maintaining running account and payout is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.
 - d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the commodity exchanges.

25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives market or the member becomes insolvent or bankrupt.
26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.
27. In case your problem/grievance/issue is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity Exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member.
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone.
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member to save time.
14. Do not pay brokerage in excess of that rates prescribed by the Exchange.
15. Don't issue cheques in the name of Authorized Person.

M) Policy on Handling of Good till cancelled orders offered by members to clients.

A] Background:-

Exchanges vide its circulars NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024, NSE circular NSE/INSP/63789 dated September 06, 2024 and circulars issued from time to time pertaining to 'Policy on Handling of Good till cancelled orders offered by Members to clients mandated trading members to formulate a policy in case they offer "Good till cancelled"/"Good till triggered" orders or orders of a similar type.

It is further informed that the policy shall include:-

- Details of good till cancelled/good till triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reset, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be late than one day prior to the ex-date of the corporate action.

Pursuant to the same, RK Global has formulated this policy in line with the regulatory requirements.

B] Details of Good till cancelled/Good till Triggered/orders of similar type:

Retail:

1. RK Global Enables its clients to place Good till Triggered (GTT) orders on its trading platforms.
2. All clients registered with RKG can create a GTT order for all segments viz. Equity, Futures, Options, Currency and Commodity.
3. The following products are permitted:
 - A. Equity — in cash and carry, type order
 - B. F&O only
4. GTT orders can only be placed by specifying a limit price. GTT orders cannot be placed at market price.
5. The order will be sent to the Exchange when the trigger price set by the user matches the last traded price.
6. When the order is triggered and sent to exchange, if for any reason the order remains open at end of that trading day, then the order will be

automatically cancelled. GTT order in such cases will not be placed again.

7. The client's funds will be blocked at the time when the order is triggered.
8. The order will be valid for a year or expiry of contract, whichever is earlier. In case the GTT order validity date falls on a non-trading day, the order is expired on the last trading day which falls prior to such order validity date which is a non-trading day.
9. All GTT orders can be can
10. The Brokerage rates and applicable charges are same for normal transactions and GTT orders. Further, GTT orders shall be settled in the same manner as normal equity / derivative market transactions.
11. Maximum orders that can be placed is 50. Limit can be revised in future.
12. GTT orders can be placed at any point of day.

Institutional Equities:

1. RK Global also facilitates placing orders which are GTC/Good till date (GTD).
2. GTD orders are permitted in both F&O and cash equities segments
3. Custodians of the client who are also registered market Intermediaries take care of margin requirements of institutional client's trades.
4. The order will be valid till fully executed or cancelled by the client.
5. Orders are triggered when the price and conditions set by the client are matched.

C] Manner of handling of such orders in case of corporate actions:-

Retail:

1. Order will be cancelled in case of following corporate actions: Delisting, Buyback, Takeover, Merger, Demerger, Rights, Split, Bonus, and Special Dividend.
2. Order will be cancelled maximum one day prior to ex-date.

Institutional Equities:

- For Institutional clients, no cancellations are initiated.

D] Updating Clients of upcoming Corporate Actions:-

Retail:

- A prior notification will be sent to the client which shall not be later than one day prior to the ex-date of the corporate action.

Institutional Equities:

- Institutional clients are informed well in advance about all orders received under GTD concerning corporate actions within 24 hours, ensuring timely communication upon order receipt.

E] Other points:-

- The said policy shall be made part of the Account Opening Form/Kit, under heading “Policy on Handling of Good Till cancelled orders of client” of Policy and Procedures document and shall also display the same on RKG website under the section: Important Policies.
- Any of the above condition can be changed without prior intimation at the discretion of RKG.
- The Compliance Officer is authorized to provide any suitable advice/clarification/exception on the said policy.

Securities Trading using Wireless Technologies (STWT)

- 1) The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/MEMBERS/EXCHANGE end.
- 2) The Stock Exchange may cancel a trade suomoto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
- 3) The information regarding order and trade confirmation shall be provided on the device of the CLIENT in case of securities trading through the use of wireless technology.
- 4) The CLIENT is ware that as it may not be possible to give detailed information on transaction/ledger/contract note etc. to the CLIENT on a hand held device e.g. mobile phones etc. minimum information would be given with address of the internet website / web page where detailed information would be available.

Smart order Routing Facility (SOR)

- 1) The CLIENT is aware that SOR is available for online customers and the MEMBER shall route orders using this facility in a neutral manner.
- 2) The MEMBER has explained and the client has understood the best execution policy as mentioned below and its features for SOR facility.

Best execution policy for Smart Order Routing:

Best execution Policy sets forth policy and execution methodology for execution of orders for securities listed on a securities exchange within India and on specific client instruction regarding execution, trading member shall endeavor to execute that order in accordance with the following principle:

- i. MEMBER shall permit Smart Order option in cash segment only. Smart order facility will not be available for After Market Orders.
 - ii. Using Smart Order, the CLIENT may place market order after clearance of all the risk management validations set by the MEMBER.
 - iii. For market order, system shall send the orders to the Exchanges based on the available market depth. The order placed by the CLIENT will be splitted and sent to the Exchange where there is best rate available for a particular quantity. If prices are equal in available Exchange then quantity will be the priority and system will place order on the exchange where total quantity is maximum for that order type.
- 3) The CLIENT is aware that the trading member shall carry out appropriate validation of all risk parameters before the orders are placed through the SOR system.
 - 4) In case the CLIENT has availed Smart Order Routing facility he shall select the type of order he wishes to use for a particular trade.
 - 5) The MEMBER shall ensure that alternative mode of trading system for eg. Call and trade facility etc. is available in case of failure of Smart Order Routing facility.
 - 6) The MEMBER shall maintain logs of the activities to facilitate audit trail.
 - 7) The client shall also abide to the terms and conditions as may be communicated regarding SOR facility from time to time or as is published on the website of the MEMBER.

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, SEBI (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. 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. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.
32. 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.

VISION

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

MISSION

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.

Services provided to Investors

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Pledge Account (CUSPA)
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

Rights of Investors

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

Various activities of Stock Brokers with timelines

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade

8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS — within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)
11.	Issuance of retention statement of funds/commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

DOs and DON'Ts for Investors

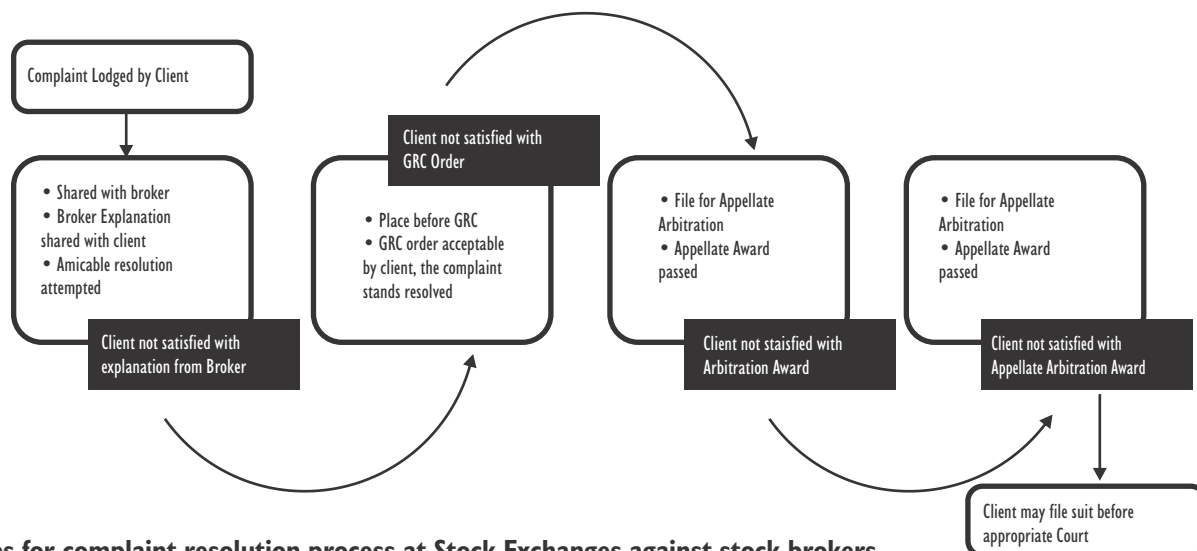
DOs	DON'Ts
1. Read all documents and conditions being agreed before signing the account opening form. 2. Receive a copy of KYC, copy of account opening documents and Unique Client Code. 3. Read the product / operational framework / timelines related to various Trading and Clearing & Settlement processes. 4. Receive all information about brokerage, fees and other charges levied. 5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions. 6. If executed, receive a copy of Power of Attorney / 'Demat Debit and Pledge Instruction' (DDPI). However, Power of Attorney / 'Demat Debit and Pledge Instruction' (DDPI) is not a mandatory requirement as per SEBI / Stock Exchanges. Before granting Power of Attorney / 'Demat Debit and Pledge Instruction' (DDPI), carefully examine the scope and implications of powers being granted. 7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades. 8. Receive funds and securities / commodities on time within 24 hours from pay-out. 9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges. 10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days). 11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.	1. Do not deal with unregistered stock broker. 2. Do not forget to strike off blanks in your account opening and KYC. 3. Do not submit an incomplete account opening and KYC form. 4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system. 5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker. 6. Do not ignore any emails / SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed. 7. Do not opt for digital contracts, if not familiar with computers. 8. Do not share trading password. 9. Do not fall prey to fixed / guaranteed returns schemes. 10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits. 11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.

Grievance Redressal Mechanism

Level 1 — Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

Level 2 — Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

Complaints Resolution Process at Stock Exchange explained graphically:



Timelines for complaint resolution process at Stock Exchanges against stock brokers

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day).
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C + 8 Working Days i.e. T day.
4.	Amicable Resolution.	T + 15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T + 16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs.20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

Handling of Investor's claims / complaints in case of default of a Trading Member / Clearing Member (TM/CM)

Default of TM/CM

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPE.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

Level 3 — The complaint not redressed at Stock Broker / Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

1. **Vision**

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

2. **Mission**

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

3. **Details of business transacted by the Depository and Depository Participant (DP)**

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [\[https://nsdl.co.in/dpsch.php\]](https://nsdl.co.in/dpsch.php)

4. **Description of services provided by the Depository through Depository Participants (DP) to investors**

(1) Basic Services

Sr. no.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion	5 days

INVESTOR CHARTER FOR DEPOSITORY PARTICIPANTS

Sr. no.	Brief about the Activity / Service	Expected Timelines for processing by the DP after receipt of proper documents
4.	Re-conversion of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	For T+1 day settlements, Participants shall accept instructions from the Clients, in physical form up to 4 p.m. (in case of electronic instructions up to 6.00 p.m.) on T day for pay-in of securities. For T+0-day settlements, Participants shall accept EPI instructions from the clients, till 11:00 AM on T day. Note: 'T' refers 'Trade Day'

(2) Depositories provide special services like pledge, hypothecation, internet-based services etc. in addition to their core services and these include

Sr. no.	Type of Activity /Service	Brief about the Activity / Service
1.	Value Added Services	Depositories also provide value added services such as (1) Basic Services Demat Account (BSDA)¹ <i>[link to be provided by the Participants]</i> (2) Transposition cum dematerialization² <i>[link to be provided by the Participants]</i> (3) Linkages with Clearing System³ <i>[link to be provided by the Participants]</i> (4) Distribution of cash and non-cash corporate benefits (Bonus, Rights, IPOs etc.), stock lending, demat of NSC / KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions).

3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:
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Sr. no.	Type of Activity /Service	Brief about the Activity / Service
		a. <u>E-account opening</u>⁴ <i>[link to be provided by the Participants]</i> b. <u>Online instructions for execution</u>⁵ <i>[link to be provided by the Participants]</i> c. <u>e-DIS / Demat Gateway</u>⁶ <i>[link to be provided by the Participants]</i> d. <u>e-CAS facility</u>⁷ <i>[link to be provided by the Participants]</i> e. <u>Miscellaneous services</u>⁸ <i>[link to be provided by the Participants]</i>

5. Details of Grievance Redressal Mechanism

(1) The Process of investor grievance redressal

1.	Investor Complaint/ Grievances	Investor can lodge complaint/ grievance against the Depository/DP in the following ways: a. Electronic mode - (i) SCORES (a web based centralized grievance redressal system of SEBI) [https://scores.sebi.gov.in] <u>Two Level Review for complaint/grievance against DP:</u> • First review done by Designated Body • Second review done by SEBI (ii) Respective Depository's web portal dedicated for the filing of complaint [https://investor.nsdl.com/portal/en/home] (iii) Emails to designated email IDs of Depository [relations@nsdl.com] b. Offline Mode ⁹ <i>[link to be provided by the Participants]</i> The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.
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2.	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [https://smartodr.in/register]
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	➤ Investor to approach Market Participant for redressal of complaint ➤ If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal. ➤ Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration. ➤ Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days. ➤ If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation. ➤ During the conciliation process, the conciliator will endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator. ➤ If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration. The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.

(2) Illustration of New Grievance Redressal System:

The flow-chart of New Grievance Redressal System.¹⁰ *[link to be provided by the Participants]*

6. Guidance pertaining to special circumstances related to market activities:
Termination of the Depository Participant

Sr. No.	Type of special circumstances	Timelines for the Activity/ Service
1.	▪ Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges. ▪ Participant surrenders the participation by its own wish.	Client will have a right to transfer all its securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

7. **Dos and Don'ts for Investors**¹¹ *[link to be provided by the Participants]*
8. **Rights of investors**¹² *[link to be provided by the Participants]*
9. **Responsibilities of Investors**¹³ *[link to be provided by the Participants]*
10. **Code of Conduct for Depositories**¹⁴ *[link to be provided by the Participants]*
11. **Code of Conduct for Participants**¹⁵ *[link to be provided by the Participants]*

INFORMATION CONTAINED IN LINKS TO THE INVESTOR CHARTER

This document contains the contents in main Charter mapped with the same superscript.

Para 4 (2) of Investor Charter

Point 1: Value Added Services

- a. Basic Services Demat Account (BSDA)¹: The facility of BSDA with limited services for eligible individuals was introduced with the objective of achieving wider financial inclusion and to encourage holding of demat accounts. As per the SEBI direction, No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding in the Demat Account (Debt as well as other than debt securities combined) is upto Rs. 4 lakhs. For value of securities holdings in Demat Account (Debt as well as other than debt securities combined) is more than Rs 4 lakhs but upto Rs 10 lakhs, AMC not exceeding Rs 100 is chargeable.
- b. Transposition cum dematerialization²: In case of transposition-cum-dematerialisation, client can get securities dematerialised in the same account if the names appearing on the certificates match with the names in which the account has been opened but are in a different order. The same may be done by submitting the security certificates along with the Transposition Form and Demat Request Form.
- c. Linkages with Clearing System³ For actual delivery of securities to the clearing system from the selling brokers and delivery of securities from the clearing system to the buying broker.

Point 3: Digitization of services provided by the depositories

- a. E-account opening⁴: Account opening through digital mode, popularly known as “On-line Account opening”, wherein investor intending to open the demat account can visit DP website, fill in the required information, submit the required documents, conduct video IPV and demat account gets opened without visiting DPs office.
- b. Online instructions for execution⁵: Internet-enabled services like Speed-e (NSDL) empower a demat account holder in managing his/her securities ‘anytime-anywhere’ in an efficient and convenient manner and submit instructions online without the need to use paper. These facilities allows Beneficial Owner (BO) to submit transfer instructions and pledge instructions including margin pledge from their demat account. The instruction facilities are also available on mobile applications through android, windows and IOS platforms.

- c. e-DIS / Demat Gateway:⁶ Investors can give instructions for transfer of securities through e-DIS apart from physical DIS. Here, for on-market transfer of securities, investors need to provide settlement number along with the ISIN and quantity of securities being authorized for transfer. Client shall be required to authorize each e-DIS valid for a single settlement number / settlement date, by way of OTP and PIN/password, both generated at Depositories end. Necessary risk containment measures are being adopted by Depositories in this regard.
- d. e-CAS facility:⁷ Consolidated Account Statements are available online and could also be accessed through mobile app to facilitate the investors to view their holdings in demat form.
- e. Miscellaneous services:⁸ Transaction alerts through SMS, e-locker facilities, chatbots for instantaneously responding to investor queries etc. have also been developed.

Offline Mode⁹:

Query / Complaint form – for Depository Services

Date: _____

Name of the Investor: _____

Demat Account no: DP ID: IN _____; Client ID: _____ and PAN: _____

Mobile no: _____ & Email ID: _____

Type & Sub-type of Query/Complaint: _____

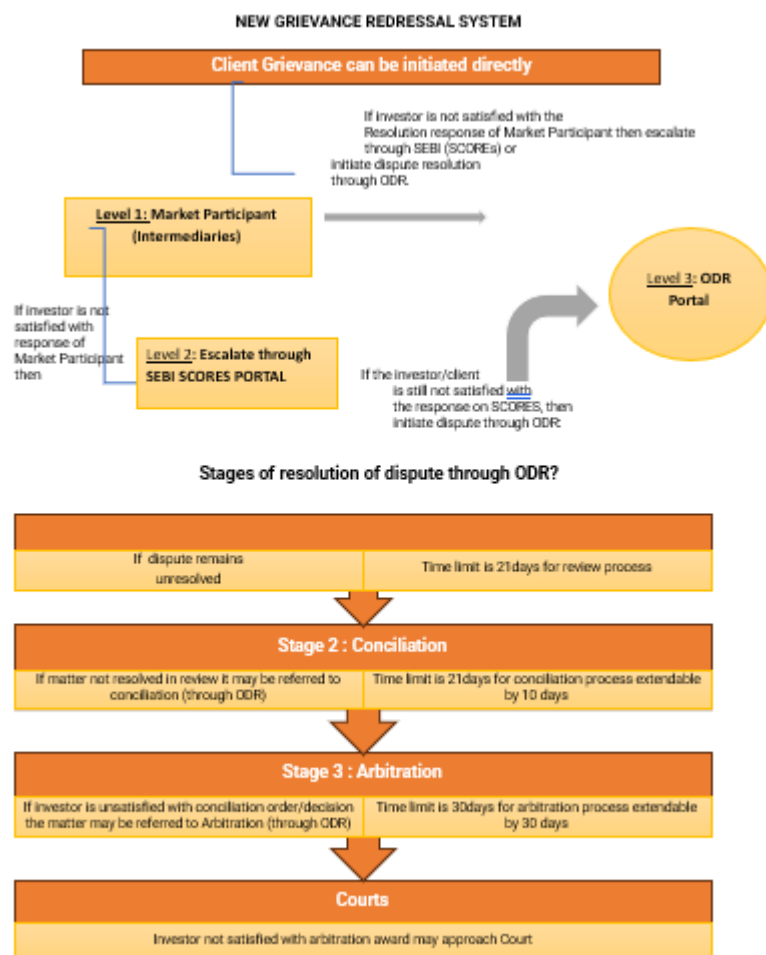
Query / Complaint in detail:

Note: For trading and broking related queries/complaints, you may approach your stockbroker or exchange, where a stockbroker is a member. Trading and broking related query and complaint doesn't fall under the purview of depository.

Name and signature of Demat account holder/s:

Para 5(2) of Investor Charter

Illustration of New Grievance Redressal System¹⁰



Para 7 of Investor Charter

Dos and Don'ts for Investor¹¹

Sr. No.	Guidance
i.	Always deal with a SEBI registered Depository Participant for opening a demat account.
ii.	Read all the documents carefully before signing them.
iii.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
iv.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
v.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
vi.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
vii.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
viii.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
ix.	Do not share password of your online trading and demat account with anyone.
x.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
xi.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
xii.	Demat is mandatory for any transfer of securities of Listed public limited companies.

xiii.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at https://scores.sebi.gov.in
xiv.	Keep a record of documents signed, DIS issued and account statements received.
xv.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
xvi.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.
xvii.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
xviii.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
xix.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
xx.	Beware of assured/fixed returns.

Para 8 of Investor Charter

Rights of investors¹²

- i. Receive a copy of KYC, copy of account opening documents.
- ii. No minimum balance is required to be maintained in a demat account.
- iii. No charges are payable for opening of demat accounts.
- iv. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI / Stock Exchanges. You have the right to revoke any authorization given at any time.
- v. You can open more than one demat account in the same name with single DP/ multiple DPs.
- vi. Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- vii. Pledge and /or any other interest or encumbrance can be created on demat holdings.
- viii. Right to give standing instructions with regard to the crediting of securities in demat account.
- ix. Investor can exercise its right to freeze/defreeze his/her demat account or specific securities / specific quantity of securities in the account, maintained with the DP.
- x. In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- xi. Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- xii. Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
- xiii. Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
- xiv. Right to opt out of the Depository system in respect of any security.

Para 9 of Investor Charter

Responsibilities of Investors¹³

- i. Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- ii. Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- iii. Read all documents and conditions being agreed before signing the account opening form.
- iv. Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- v. Always mention the details like ISIN, number of securities accurately.
- vi. Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- vii. Regularly verify balances and demat statement and reconcile with trades / transactions.
- viii. Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- ix. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks / securities promising huge profits.

Para 10 of Investor Charter

Code of Conduct for Depositories¹⁴

(Part D of Third Schedule of SEBI (D & P) Regulations, 2018)

A Depository shall:

- (a) always abide by the provisions of the SEBI Act, 1992 Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- (b) adopt appropriate due diligence measures.
- (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
- (d) take appropriate measures towards investor protection and education of investors.
- (e) treat all its applicants/members in a fair and transparent manner.
- (f) promptly inform SEBI of violations of the provisions of the SEBI Act, 1992 the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
- (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
- (h) endeavor for introduction of best business practices amongst itself and its members.
- (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- (j) not indulge in unfair competition, which is likely to harm the interests of any other

- Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- (k) segregate roles and responsibilities of key management personnel within the depository including
 - a. Clearly mapping legal and regulatory duties to the concerned position
 - b. Defining delegation of powers to each position
 - c. Assigning regulatory, risk management and compliance aspects to business and support teams
 - (l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
 - (m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

Para 11 of Investor Charter

Code of Conduct for Participants¹⁵

(Part A of Third Schedule of SEBI (D & P) Regulations, 2018)

1. A participant shall make all efforts to protect the interests of investors.
2. A participant shall always endeavour to—
 - (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
 - (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
 - (c) inquiries from investors are adequately dealt with;
 - (d) grievances of investors are redressed without any delay.
3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the

- information under the requirements of any Act, Rules or Regulations.
10. A participant shall co-operate with SEBI as and when required.
 11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.
 12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to SEBI.
 13. A participant shall not neglect or fail or refuse to submit to SEBI or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
 14. A participant shall ensure that SEBI is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or non-compliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
 15. A participant shall maintain proper inward system for all types of mail received in all forms.
 16. A participant shall follow the maker—checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
 17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, up-to-date back up is always available with it.
 18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
 19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
 20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
 21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
 22. A participant shall ensure that good corporate policies and corporate governance are in place.

DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP

(Mandatory For Non-Individuals)

Investor Name _____ PAN _____

Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- ☐ is a Company listed on a Stock Exchange
- ☐ is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) _____

Name of such Listed Company (if not the Applicant itself) _____

Stock Exchange where listed _____ Security ISIN _____

Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

Part III - DECLARATION

We understand that R K Global Shares and Securities Limited . is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.	_____ Authorised Signatory [with seal] Date : _____ Place : _____
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In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.

FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

Applicant Name _____

PART I

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:

• Yes • No

If “No”, then proceed to point B. If “yes” please specify name of stock exchange, if you are listed company _____ and proceed to sign the declaration.

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India : • Yes • No

If “yes”, then please fill of FATCA/ CRS Self certification Form. If “No”, proceed to point C.

C. Is the account holder an Indian Financial Institution : • Yes • No

If “yes”, please provide your GIIN, if any _____. If “No”, proceed to point D.

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen : • Yes • No

If “yes”, (then please fill FATCA/ CRS self-certification form)). If “No”, proceed to sign the declaration.

CUSTOMER DECLARATION

() Under penalty of perjury, I/we certify that :

1. The applicant is:

(i) An applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District to Columbia or any other states of the U.S.,

(ii) An estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**

2. The applicant is an applicant taxable as a tax resident under the laws of country outside India.

(i) I/We understand that R K Global Shares and Securities Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. R K Global Shares and Securities Limited is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iii) I/We agree that as may be required by domestic regulators/tax authorities R K Global Shares and Securities Limited may also be required to report, reportable details to CBDT or close or suspend my account.

(iv) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the Entity _____

Signature 1 _____ Signature 2 _____

Signature 3 _____ (As per MOP)

Date : _____

PART II

Self-Certification Form (Entity) for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standards (CRS)

Section 1 : Entity information

Name of Entity _____

Customer id (if existing) _____ Entity Constitution Type _____

Entity Identification type : • Tax Identification Number (TIN) • US GIIN • Company Identification Number
• Global Entity Identification Number (EIN) • Other

Entity Identification No. _____

Entity Identification issuing country _____ Country of Residence for tax purpose _____

Section 2 : Classification of Non-Financial entities

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person) : • Yes • No

If "Yes", please provide your U.S. Taxpayer Identification Number (TIN) _____

b) An entity incorporated and taxable outside of India (other than US) : • Yes • No

If "Yes", please provide your TIN or its functional equivalent _____

Provide your TIN issuing country _____

c) Please provide the following additional details if you are not a Specified US Person :

FATCA / CRS classification for Non-financial entities (NFFE)

• Active NFFE • Passive NFFE without any controlling Person

• Passive NFFE with Controlling Person(s) : US • Others •

• Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus R K
Global Shares and Securities Limited is not required to do the reporting)

Please provide GIIN number : _____

Section 3 : Classification of financial institutions (including Banks)

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution : • Yes • No

If "Yes", (i) Please provide your Taxpayer Identification Number (TIN)

(ii) Please provide GIIN, if any _____

If "No", please tick one of the following boxes below :

FATCA classification

Please provide the Global Intermediary
Identification number (GIIN) or other information where

• Reporting Foreign Financial Institution in a Model 1
Inter-Governmental Agreement ("IGA") Jurisdiction

• Reporting Foreign Financial Institution in a Model 2
IGA Jurisdiction

• Participating FFI in a Non-IGA Jurisdiction

• Non-reporting FI

• Non-Participating FI

• Owner-Documented FI with specified US owners

Section 4 : Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

(i) Under penalty of perjury, I/we certify that :

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
2. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.

(ii) I/We understand that R K Global Shares and Securities Limited is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. R K Global Shares and Securities Limited is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.

(iv) I/ We agree as may be required by Regulatory authorities, R K Global Shares and Securities Limited shall be required to comply to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Authorized Signatories and Company Seal (if applicable)

Name _____ Date (DD/MM/YYYY)

VOLUNTARY FREEZING/UN-FREEZING THE ONLINE ACCESS OF THE TRADING ACCOUNT

1. **Background** : SEBI vide circular no. SEBI/HO/MIRSD/POD-I/P/CIR/2024/4 dated January 12, 2024 and NSE Circular no NSE/INSP/61529 Dated April 08, 2024 regarding Framework for Trading Members to provide the facility of voluntary freezing/blocking of online access of the trading account to their clients.

It is pertinent to mention that:

- a) Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.
 - b) The request for freezing/ blocking does not constitute request for marking the client's Unique Client Code (UCC) as inactive in the Exchange records.
2. In view of the above the company has framed the following policy governing the outline of the modus operandi. In addition to offline trading the company is also extending the facility of internet trading through browser based and EXE based followed by mobile trading. Presently we will be providing the following method of communications through which the client may request for voluntary freezing/ blocking of the online access of trading account if any suspicious activity is observed in the trading account: -
- a) Email from registered e-mail ID: A dedicated email ID stoptrade@rkglobal.in has been opened where client can send their request for freezing/ blocking from their email ID registered with us. Clients are requested to send their freezing/ blocking request without any ambiguity along with UCC. Similarly, for un-freezing/ un-blocking, clients are requested to send their request at the email ID stoptrade@rkglobal.in from their registered email ID mentioning the same. Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered email ID or sent to any other email ID of the company.
 - b) SMS from registered mobile number: A dedicated mobile number 8331000000 has been assigned where client can send their request for freezing/ blocking from their mobile number registered with us. Clients are requested to send their freezing/ blocking request in the following manner:
 - For freezing/ blocking type: "BLOCK" FOLLOWED BY UCC WITHOUT SPACE Example: if your UCC is AI23 then message will be "BLOCKAI23" and send it to 8331000000
 - For un-freezing/ un-blocking type: "UNBLOCK FOLLOWED BY UCC WITHOUT SPACE" Example: if your UCC is W114X100 then message will be "UNBLOCKW114X100" and send it to 8331000000.

Request sent for such freezing/ blocking and un-freezing/ un-blocking may not be addressed by the company if it is not sent from client's registered mobile number or sent to any other mobile number of the company.
3. The company shall take the following actions on the receipt of such request through any modes of communications for freezing/blocking of the online access of the trading account from the client:
- Verify whether request is received from the registered mobile number/e-mail ID of the client;
 - Freeze / block the online access of the client's trading account and simultaneously cancel all the pending orders, if any, of the said client.
 - Issue the acknowledgement to the registered email ID or mobile number of the client stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled.
 - Details of open positions (if any) would also be communicated to registered email ID of the client along with contract expiry information within one hour from the freezing/blocking of the trading account.
 - The timelines for freezing/ blocking & issuing acknowledgement is as under: -

Scenario	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading account.
Request received during the trading hours and within 15 minutes before the start of trading.	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

Trading hours shall be as follows:

Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m., Commodity Derivatives Segment: 09.00 a.m. to 11:30 p.m. Please note that Trading hours may be different in case of special session or during sun-outage as per regulatory norms, so refer to the settlement calendar for the same.



CIN No.: U99999MH1995PTC174185

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