

INSTRUCTIONS FOR FILLING ACCOUNT OPENING FORM

(Please read carefully before filling the form)

- 1) All communications shall be sent at the correspondence address of the Sole/First holder only.
- 2) Incase of more than three signatories, separate annexure should be attached to the application form.
- 3) Thumb impressions and signatures other than English or Hindi or any of the other languages no contained in the 8th Schedule of constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate.
- 4) As per NSDL Circular No. NSDL/PI2002/1319 date August 8, 2002, following documents may be accepted as proof of identify/proof of address :
 - (i) Memorandum & Articles of Association (MOA & AOA), board resolution for opening demat account and the list of authorised signatories alongwith their specimen signatures and photographs, etc.
 - (ii) Introduction by an existing account holder or by the applicant's bank.
 - (iii) Proof of address of the corporate evidenced by the document registered with Registrar of Companies or acknowledged copy of Income Tax Return or Bank Statement or Leave and License agreement/Agreement for sale.
- 5) Please ensure that all documents/formalities given on the back side of the form should be completed.
- 6) Please ensure that all columns of Account Opening Form are duly filled and no box or space is left blank. Please strike off the boxes or space, which are not applicable.

PAYMENT DETAILS

Amount : _____ Cash / Cheque Cheque No. _____

Drawn on : _____ Date : _____

VERIFICATION BY AUTHORISED OFFICIAL

Verified that all the documents mentioned in the checklist provided in the account opening form are present and enclosed with account opening form.

(Date of Verification)

(Name and Signature of
Authorised Signatory)

Bank Details

Bank Account No.										
Bank Account Type	<input type="checkbox"/> Current					<input type="checkbox"/> Savings				
Bank Name										
Branch Address										
	Pincode									
9-Digit Code Number of the Bank and branch appearing on the MICR Cheque issued by the Bank										

CLEARING MEMBER DETAILS (TO BE FILLED UP BY CLEARING MEMBERS ONLY)

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

Please attach recent passport size photographs in the space provided below :

Sole/First Holder	Second Holder	Third Holder
<i>Signature Across Photograph</i>	<i>Signature Across Photograph</i>	<i>Signature Across Photograph</i>

INTRODUCTION	
(by an existing account holder/applicant's bank)	
DP Id : IN _____ Client Id : _____ (In case of existing account holder)	
I confirm the identify and address of the applicant(s)	
Name : _____	
Signature of Introducer/ Signature and Seal in case of Bank (To be verified by DP official)	

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We also declare that the particulars given by us are true to the best of our knowledge as on the date of making such application. We further agree that any false or misleading information given by us or suppression of any material fact will render our account liable for termination and further action.

AUTHORISED SIGNATORIES (ENCLOSE A BOARD RESOLUTION FOR AUTHORISED SIGNATORIES)

SOLE/FIRST HOLDER	NAME	SIGNATURE(S)
First Signatory		
Second Signatory		
Third Signatory		
OTHER HOLDERS		
Second Holder		
Third Holder		

TO BE FURNISHED ON THE LETTERHEAD OF COMPANY

Extracts of Minutes of the meeting of Board of Directors of M/s.....
held at it's Registered Office at..... on.....
Day of..... 200..... at.....

“RESOLVED THAT the company shall open one Depository account with M/s R K Global Shares & Securities Ltd, in its own name and Mr..... and/or (Designation) of the company be and is/are hereby authorised to sign all agreements/documents/Applications/papers etc. as may be required for opening the said account” on behalf of the company.

“FURTHER RESOLVED THAT Mr..... and/or (Designation)..... of the company be and is/are hereby authorised to operate the above account on behalf of the company on ANY ONE/SINGLY/JOINTLY BASIS.

Further resolved that Mr. is also authorised to give power of attorney to operate the said DEMAT account to any Person/Company as may be deem fit for smooth operation of the account.

“RESOLVED FURTHER THAT Mr. (Designation) of the company be and is hereby authorised to furnish a copy of the aforesaid resolution to M/s R K Global Shares & Services Ltd and to do all such acts, deeds and things as may be necessary to give effect to this resolution.”

Certified to be true copy Sd/- Chairman

**AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE CM/BENEFICIAL OWNER
SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT**

This agreement made and entered into this _____ day of _____ between _____
situated at _____

(hereinafter called "the Client") and R K Global Shares & Securities Ltd. having its Corporate & Registered Office at Bungalow No. 31, Mhada Bungalow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai-400 053, Regional Office at Flat No. 5, 2nd Floor, Sagar Apartment, 6, Tilak Marg, New Delhi-110001 (hereinafter called "The Depository Participant")

Witnesseth

WHEREAS the Client has furnished to the Depository Participant the duly filled in application form requesting therein to open an account with Depository Participant.

NOW THEREFORE in consideration of the Depository Participant having agreed to open an account of the Client, both the parties to the agreement hereby covenant and agree as follows :


<ol style="list-style-type: none"> 1. The Client shall pay such charges to Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the Client and for rendering such other services as may be agreed to from time to time between the Depository Participant and the client as set out in schedule A Depository Participant shall reserve the right to revise the charges by giving not less than thirty days notice in writing to the Client. 2. The Client shall have the right to get the securities which have been admitted on the Depository dematerialised in the form and manner laid down under the Bye Laws and Business Rules. The Depository Participant further undertakes that is shall not create or permit to subsist any mortgage, charge or other encumbrance over all or any of such securities submitted for dematerialisation except on the instructions of the Client. 3. The Depository Participant hereby undertakes that it shall maintain a separate account of its own securities held in dematerialised form with the Depository and shall not commingle the same with securities held in dematerialised form on behalf of the Client. 4. The Depository Participant undertakes that a transfer to and from the account of the Client shall be made only on the basis of an order, instruction, direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization. 5. The Depository Participant agrees that the Client may give standing instructions with regard to the crediting of securities in his account and Depository Participant shall act according to such instructions. 6. The Depository Participant undertakes to provide a transaction statement including statement of accounts, if any, to the Client at monthly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the client atleast once a quarter. 7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provide the Depository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. In such an event, the Client shall specify whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balances within a period of thirty days, as per the procedure laid down in the byelaws and Business Rules. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion. 8. On the failure of the Client to pay the charges as laid out in clause (1) of this agreement within a period of thirty days from the date of demand. Depository Participant shall terminate shall terminate this agreement and close the account to the Client by requiring 	<p>it to specify Whether the balances in its account are transferred to the account of the Client held with another Participant or is rematerialised in the manner specified in the bylaws and Business rules.</p> <ol style="list-style-type: none"> 9. The Client further agrees that in the event of the Client committing a default in the payment of any of the amounts provided in clause (1) within a period of thirty days from the date of demand, without prejudice to the right to the Depository Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period such default. In case the client has failed to make the payment of any of the amount as provided in clause (1) of this agreement, the Depository Participant shall have the right to discontinue the Depository services till such time he makes the payment alongwith interest, if any, After giving two days notice to the Client. 10. The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by NSDL from time to time. 11. The Client shall have the right to create a pledge of the securities held in the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the Buy Laws and Business Rules. 12. NSDL shall not be liable to the Client in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other governmental charges in respect of securities credited to the Client's account. 13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with Depository Participant in accordance with the procedures prescribed in the Bye Laws and Business Rules. 14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Law and Business Rules. 15. The Client shall notify the Depository Participant, within seven days of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time. 16. The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days. 17. The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Byelaws of NSDL and that such procedure shall be applicable to any disputes between the Depository Participant and the Client. 18. The Depository Participant and Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the Buy-Laws or Business Rules of the Depository or with reference to anything incidental there to or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions have been entered into or not, shall be subject to the exclusive jurisdiction of courts at Mumbai only.
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In Witness Whereof the Client and the Depository Participant has caused these presents to be executed as of the day and year first above written.

**Signed and delivered by
Sole/First Holder**

Second Holder

Third Holder

 _____
(for and on behalf of the client)

 _____

 _____

Witness

Signed and delivered by

Witness

for and on behalf of R K GLOBAL SHARES & SECURITIES LIMITED
(Authorised Signatory)

UNDERTAKING CUM INDEMNITY

(To be executed on Rs. 100/- Stamp paper by clients who shall send instruction through fax in case of emergencies)

To

R K Global Shares & Securities Ltd., Registered & Corporate Office at Bunglow No. 31, Mhada Bunglow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai-400 053, Regional office at Flat No. 5, Sagar Apartment, 6, Tilak Marg, New Delhi-110 001

I/We 1) _____ residing at _____ 2) _____
residing at _____ and 3) _____ residing
at _____ execute this UNDERTAKING CUM INDEMNITY in

favour of R K Global Shares & Securities Limited a company incorporated and registered under the Companies Act, 1956 and having its Registered & Corporate Office at Bunglow No. 31, Mhada Bunglow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai-400 053 hereinafter called "R K GLOBAL" (which expression shall unless it be repugnant to the context or meaning thereof mean and include its successors in title) as follows :

WHEREAS I/We maintain a Beneficial Owner Account(s) ("the said Account") mentioned above, with R K Global at its Office, located at Corporate Office : Bunglow No. 31, Mhada Bunglow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai-400 053 & Regional office at Flat No. 5, Sagar Apartment, 6, Tilak Marg, New Delhi-110 001. As per the instructions for operation of the said Accounts, the same is allowed to be operated by us or the persons authorised, in that behalf (hereinafter referred to as "Authorised Person/s").

AND WHEREAS in the day to day business, I am / we are required to give urgent instructions to R K Global for operation of the said Account.

WHEREAS R K Global has agreed to accept, in lieu of the original instruction slip, a Fax Submission thereof signed by the Authorised Persons to operate the said Account under their signatures, and subject to the indemnity herein offered by me/us to R K GLOBAL on the terms and conditions herein mentioned.

NOW IN CONSIDERATION OF THE ABOVE, I/We hereby irrevocably agree, confirm and undertake to R K Global as follows :

1. I/We shall transmit the Fax instructions only to the fax number informed/provided to us by R K Global.
2. The Fax Submission shall be signed by the Authorised Person/s mentioned in the List of Authorised signatories submitted by me/us in the account opening form on behalf of me/us and their signatures shall be in the same manner and way as has been informed to R K Global by me/us and R K Global is hereby requested and authorised, (but is not obliged to) rely upon and act, in accordance with such Fax Submission which is signed or bonafide believed by R K Global to have been signed, by the Authorised Person/s.
3. R K Global is requested by me/us and shall be entitled to treat any Fax Submission as fully and duly authorised by and binding upon me/us and further be entitled (but not bound) to take any steps relying upon the same, believing the Fax Submission, in good faith as appropriate, regardless, of the amount of money involved and notwithstanding any error in transmission or reception of such Fax Submission or any misunderstanding or ambiguity or lack of clarity in the terms of such Fax Submission.
4. I/We shall upon making any Telefax Submission hereunder, deliver to R K Global without any delay within two business working days, the original hard copy of the Fax Submission (the Hardcopy) signed by the Authorised Person/s as aforesaid. Each Hard copy shall bear the following words on the top of the instruction slip - be accompanied by a note or a cover slip which shall state that:
"This is a Hardcopy of Fax Submission to you, from _____ transmitted on _____ day of _____ month, _____ year, at approximately _____ a.m./p.m.
5. R K Global shall not be required to confirm (whether orally, in writing or otherwise) any fax submission or verify the identity of the Authorised Person/s or his/her/their signature/s making or giving the fax submission or purporting to do so.
6. R K Global shall be under no duty to set and/or adopt any procedure for the purpose of such confirmation or verification and if at all there is any, R K Global shall not be obliged to strictly adopt or comply with the same in any or every instance.
7. R K Global shall not be liable for any losses or damages which I/We may suffer as a consequence of R K Global acting in accordance with or in reliance upon, any Fax Submission or otherwise pursuant to the authority conferred herein, upon R K Global.
8. I/We shall indemnify R K Global and NSDL and keep R K Global them indemnified and save harmless, at all times against any and all claims, losses, damages, costs liabilities and expenses incurred, suffered or paid or incurred by R K Global or required to be incurred suffered or paid by R K Global and also against all demands, actions, suit proceedings made, filed/instituted against R K Global, in connection with or arising out of or in relation to or as a consequence of :
 - i. R K Global acting pursuant to, in accordance with or relying upon, any Fax Submission or otherwise pursuant to the request and authority conferred herein; and/or;
 - ii. R K Global acting pursuant of to in accordance with or relying upon any Fax Submission received by R K Global which it believes in good faith to be such a Fax Submission; and/or;
 - iii. Any unauthorised or fraudulent Fax Submission to R K Global, PROVIDED that this indemnity shall not be available to R K Global, if the liabilities for which R K Global seeks indemnification hereunder, arises directly and completely from its own negligence or willful default.
 - iv. R K Global not having acted on the fax submission due to non-receipt of the transmission or receipt of incomplete or partly/fully unreadable transmission.
 - v. R K Global not having acted on any fax submission sent by me/us on a number other than the number mentioned by R K Global for the purpose of fax transmission.
9. R K Global shall not be under any obligation at any time to maintain any facility for the receipt of any Fax Submission or to ensure the continued operations or availability of any such facsimile facilities or equipment, and I/We shall not hold R K Global liable for any loss consequent to non-availability of the said fax facility.
10. I/We acknowledge and confirm that I am/we are aware that by the very nature of telecommunications services, the Fax transmissions may not be received properly and may be clearly legible. I/We agree to assume and bear all the risks involved in respect of such errors and misunderstanding and R K Global shall not be responsible in any manner for the same or breach of confidentiality thereto and shall also not be liable for any claims, loss, damage, cost or expense and liability arising therefrom.
11. This indemnity is without prejudice to R K Global's other rights, privileges, powers and remedies in law and R K Global may delay enforcing its rights without at any time losing them and any waiver of a right by R K Global hereunder or available to it by law, shall not be deemed to be waiver of any other rights or of the same right at another time.
12. R K Global may stop/terminate this facility given to me/us by giving two days prior written notice verbal or written to me/us. However, any such termination shall not affect anything done or any rights or liabilities accrued or incurred prior to the termination and all the above indemnities given by me/us to R K Global hereunder shall survive any such termination. However in case of termination as mentioned in point 6 above, no such notice need to be given by R K Global.

The Provisions relating to arbitration contained in the agreement dated _____ executed by us in favour of R K Global shall be applicable to any dispute or difference that may arise in respect of such fax transmission including all disputes with regard to the receipt of the fax Transmission by R K Global.

I/We specifically agree and confirm that regardless of the place from which the fax transmission in question may have been transmitted to R K Global any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws and shall be subject to the exclusive jurisdiction of the Courts of Delhi (India) alone.

Dated at _____ this _____ day of _____

Given by



1st Holder

1. Signature
Name
Witnessed



2nd Holder

2. Signature
Name
Witnessed



3rd Holder

3. Signature
Name
Witnessed

TERMS AND CONDITIONS		
Account Maintenance (Charged from 2nd year onwards)		Rs. 250/-
Advance Against Charges (One Time)		Rs. 200/-
Transaction Charges :	Outgoing	Rs. 15/- Per ISIN
	Incoming	Nil
Delivery Instruction Book Charges		Rs. 25/- Per Book
Dematerialisation		Rs. 30.00 plus Rs. 3.00 per certificate subject to Maximum of Rs. 250/-
Rematerialisation		Rs. 20/- per Certificate
Creation and Closure of Pledge (Chargeable from the Pledger)		Rs. 50/- Per Instruction
Invocation of Pledge (Chargeable from the Pledger)		Rs. 50/- Per Instruction

***SPECIAL OFFER :** 1st YEAR ANNUAL MAINTENANCE CHARGES SHALL BE NIL AND ONLY RS. 200/- SHALL BE TAKEN FROM CLIENT TOWARDS ADVANCE AGAINST CHARGES, THE BALANCE OF WHICH, IF ANY, SHALL BE C/F TO NEXT FINANCIAL YEAR.

- Postage shall be charged @ Rs. 50/- per demat rejection/request, if any, dispatched to the client, for removal of objection. Rejection charges for failure of Delivery Instruction Rs. 15/- per instruction.
- Any service not listed above will be charged extra.
- No refund of annual charges, whenever the account is closed.
- Charges/Service standards are subject to revision at Depository Participants sole discretion and shall be informed by circulars sent by ordinary post 30 days prior to its implementation.
- 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 charges for such accounts will be Rs. 100/-.
- The value will be calculated as per NSDL formula.
- Non Periodic Statement shall be charged @ Rs. 5/- per page and postage/courier charges @ 50/- per mail.
- In case of foreign correspondence address, in addition to annual account maintenance charges, statement/communication charge @ Rs. 100/- per mail shall be charged extra.
- Modification in Client Master Rs. 50/- per Instance.
- Stamp Paper cost Rs. 50/- will be charged extra.



1st Holder



2nd Holder



3rd Holder

DEPOSITORY ACCOUNT OPENING DOCUMENTS CHECK LIST

(To be filled by the Investors)

SL.NO.	NAME OF THE DOCUMENT	SUBMITTED (YES/NO)
1.	Application Form duly filled & signed	YES / NO
2.	Agreement duly signed & witnessed	YES / NO
3.	Schedule A for DP charges duly signed	YES / NO
4.	Certified true Copy of MOA and AOA	YES / NO
5.	Board Resoluton in the format provided in the form	YES / NO
6.	List of authorised Signatories (if more than three)	YES / NO
7.	Photograph(s) of Authorised Signatory	YES / NO
8.	Introduction by the Applicant's Bank	YES / NO
9.	Identification proof of Authorised Signatories	YES / NO
10.	Fax Indemnity on Rs. 100 Stamp Paper	YES / NO
11.	Address proof (Please give copy of any one of the following)	
	a) Document Registered with ROC	YES / NO
	b) Bank Statement (Not more than 2 months old)	YES / NO
	c) Leave & Licence Agreement/Agreement for Sale	YES / NO

Annexure

AGREEMENT BETWEEN THE PARTICIPANT AND THE CLIENT FOR PROVIDING THE TRANSACTION STATEMENT THROUGH INTERNET

This agreement made and entered into this _____ day of _____ between _____ situated at _____ (hereinafter called "the Client") and _____ situated at _____ (hereinafter called "the Participant").

Witnesseth

WHEREAS the Client has permitted the Participant to provide the transaction statement through internet (web-based and/or email).

NOW THEREFORE in consideration of the Participant having agreed to provide the transaction statement through internet (web-based and/or email), both the parties to the agreement hereby covenant and agree as follows :

- i) The Participant shall install adequate systems to restrict the access of the transaction statement only to the Client.
- ii) The Client shall take all the necessary steps to ensure confidentiality and secrecy of the login name and password.
- iii) The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- iv) In case the Client opts for transaction statement through email, it shall immediately inform the Participant about change in email address, if any. The Participant shall verify and confirm with the Client about the change. Further, the Participant shall confirm with the Client about validity of the email address atleast once in a year.
- v) The Client agrees not to receive Transaction Statement in paper form from the Participant. Provided however that, in case when the Participant is not able to provide Transaction Statement to its Clients through internet (web-based / email) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches to the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of NSDL.
- vi) The Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
- vii) The above terms and conditions are in addition to and not in contravention of the terms and conditions forming a part of the "AGREEMENT BETWEEN THE PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH PARTICIPANT" signed by the Client at the time of opening the account with the Depository.

IN WITNESS WHEREOF the Participant and the Client has caused these presents to be executed as of the day and year first above written.

Signed and delivered by

(for and on behalf of the Client)

(Witness)

Signed and delivered by

(for and on behalf of the Participant)

(Witness)

			Client Code						
Segment	C	F	Date of Agreement						
Client Name									
Director/Authorised Person									
Father's Name Full)									
Designation									
Correspondance Add. Ist Line									
IInd Line									
Area									
City									
Local Add. Ist Line									
IInd Line									
Area									
City									
Pincode No.									
Phone No. Office									
Residence									
Mobile									
Bank Account No.									
Bank Name									
Branch Address								Pincode	
Account Type	<input type="checkbox"/> Saving	<input type="checkbox"/> Current	<input type="checkbox"/> Others						
MICR No.									
PAN No. (Company)									
WARD No.									
Other Detail									
SMS Facility									
POA Facility									
Depository Account (Client)									

Signature			
	1st Holder	2nd Holder	3rd Holder