

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) Thumb impressions and signatures other than English or Hindi or any of the other languages not contained in the 8th Schedule of constitution of India must be attested by a Magistrate or a Notary Public or a special Executive Magistrate.
- 3) As per NSDL Circular No. NSDL/PI/2004/1622 dated September 7, 2004 pursuant to SEBI Circular No. MRD/DoP/Dep/Cir-29/2004 dated August 24, 2004 a copy of any one of the following documents may be accepted as proof of identity/ proof of address (local / correspondence / foreign / address as the case may be) :

PROOF OF IDENTITY :

- Passport Voter ID Card Valid Driving License
 PAN Card with Photograph

Identity Card / document with applicant's Photo issued by

- A Central / State Government and its Departments B Statutory / Regulatory Authorities
C Public Sector Undertakings D Scheduled Commercial Banks
E Public Financial Institutions F Colleges affiliated to Universities
G Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members and
H Credit Cards / Debit Cards issued by Banks with photo of applicant.

PROOF OF ADDRESS :

- Ration Card Passport Voter ID Card
 Valid Driving Licence Bank Passbook

Verified copies of

- a) Electricity bills (not more than two months old)
b) Residence Telephone bills (not more than two months old)
c) Lease and License agreement / Agreement for sale.
 Self-declaration by High Court & Supreme Court Judges, giving the new address in respect of their own accounts

Identity card / Document with address, issued by

- A Central / State Government and its Departments B Statutory / Regulatory Authorities
C Public Sector Undertakings D Scheduled Commercial Banks
E Public Financial Institutions F Colleges affiliated to Universities and
G Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc. to their Members.

The aforesaid documents are minimum requirement for opening the Account. Participants must verify the copy of the document with the original before accepting the same as valid.

- 4) 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 : _____

Dated : _____

Date :

To

**R K Global Shares & Securities Limited
Flat No. 5, Sagar Apartment,
6, Tilak Marg, New Delhi-110 001**

Dear Sir,

I/We confirm having received photo copy of full set of account opening form & other papers signed by me/our. Further I/We request you to send me/us contract notes & other information / details concerned with my/our trading account to my E-mail ID

With regards

(Client's Signature)

Client Name :

Client Code :

Third Holder's Name										
Name of Father/Husband										
Address										
Telephone										
Mobile No.										
Occupation										
E-mail										

Address for Communication/Corporate Benefits (Default option is Local Address)	Local/Permanent Address	<input type="checkbox"/>
	Correspondence Address/Foreign Address	<input type="checkbox"/>

Guardian Details *(In case the sole/first holder is a minor)*

Name										
Relationship with the applicant, if any										
Address										
Date of Birth (of minor)	D	D	M	M	Y	Y	Y	Y		

In case of NRI's

Foreign Address										
RBI Reference No.										
RBI Approval Date	D	D	M	M	Y	Y	Y	Y		

STANDING INSTRUCTIONS

I/We authorise you to receive credits automatically into my/our account Yes No
(If you do not wish to authorise for credits kindly tick at 'No')

INTER DEPOSITORY BOOKLET

Would you like to have Inter Depository Booklet for Inter-Depository transfer Yes No
(If yes, kindly tick on 'Yes' & 'X' on 'No')



Financial Details	P.A.N										IT Circle/Ward/District No.	
Sole/First Holder												
Second Holder												
Third Holder												
Guardian Details (If Sole Holder is minor)												

Additional Financial Details

Financial Status (Annual Income)	<input type="checkbox"/> < Rs. 5 Lakh	<input type="checkbox"/> Rs. 5-10 Lakh	<input type="checkbox"/> Rs. 10-15 Lakh	<input type="checkbox"/> > Rs. 15 Lakh
Nature of Business				

Bank Details (Please submit the copy of cancelled cheque)

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


ACCOUNT TO BE OPERATED THROUGH POWER OF ATTORNEY (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Please attach recent passport size photograph in the space provided below :

SOLE/FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Please Sign Across the Photograph	Please Sign Across the Photograph	Please Sign Across the Photograph

DECLARATION

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

	Name of Holder(s)	Signature(s)
Sole/First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		
Guardian (in case of Minor) (Mr./Ms.)		

Nomination

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and/or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death. I/We do not wish to make a nomination.

Name of the Nominee								
Relationship with the applicant; if any								
Address of Nominee								
The nominee is a minor, whose guardian is								
Address of Guardian								
Signature of Guardian								
Signature of Nominee								
Date of birth (If nominee is minor)	D	D	M	M	Y	Y	Y	Y

Photograph of Nominee

Signature of Nominee across Photograph

Photograph of Guardian (In case of minor)

Signature of Guardian across Photograph

Sole/First Holder

Second Holder

Third Holder

(To be signed by the applicant only in case of nomination)

Signature of Two Witnesses

Name	Address	Signature with Date

**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 convenant and agree as follows :


<ol style="list-style-type: none"> 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. 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. 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. 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. 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. 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. 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. 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 	<ol style="list-style-type: none"> 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. 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. 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. 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. 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. 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. 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. 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. The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days. 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. 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)

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)

Check List for Document Submission

NAME OF THE DOCUMENT	SUBMISSION STATUS
General Requirements	
• Application Form duly filled and signed	Yes / No
• Agreement duly signed and witnessed	Yes / No
• Nomination form, duly filled and signed	Yes / No
• Fax Indemnity of Rs. 100/- Stamp Paper	Yes / No
• Schedule A duly signed	Yes / No
• ECS Form duly filled & signed	Yes / No
• Cancelled Blank Cheque of your Bank Account	Yes / No
For Individual	
• Signed Photograph of all holders (In case of POA - signed photograph of POA holder)	Yes / No
• Signed Photograph of Nominee and Guardian both in case nominee is minor	Yes / No
• Signature Verification of all accounts holder(s) as per account opening instructions (In case of POA - Signature of POA holder)	Yes / No
• Proof of address & identification of all account holders as per account opening instructions	Yes / No
• RBI reference / Authorised Dealer letter in case of NRI Account	Yes / No
For HUF	
• Signed Photograph of Karta (In case of POA - signed photograph of POA holder)	Yes / No
• Signature Verification of Karta	Yes / No

INSTRUCTIONS RELATED TO NOMINATION

- I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, 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.
- II. 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.
- III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family of a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
- VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body, corporate, 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.
- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.

DP Name : R K Global Shares & Securities Ltd		DP ID - IN302453	
Branch Name R K Global Shares & Securities Ltd		Branch Address : _____ _____ _____	
Staff doing "In person" Verification		Name : _____ Employee Code : _____ Signature : # _____	
Date if in person Verification	D D M M Y Y Y Y	Place of in person Verification : _____	
Signature(s) of application(s) : (Signature in the presence of the DP staff)		1st Holder : _____ 2nd Holder : _____ 3rd Holder : _____	

POWER OF ATTORNEY

To all to whom these presents shall come I / we.....
.....Indian Inhabitants send greetings.


Whereas I / we have a beneficiary Account bearing No. In the name and style of
..... (Hereinafter referred to as the said 'Account') with **R K Global Shares & Securities Ltd.**, having it's Registered and Corporate Office at Bungalow No. 31, Mhada Bungalow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai- 400 053. and **DP ID IN302453** (Herein after called "The DP") and I / we am/ are desirous of appointing an agent/ attorney to operate said account on my/ our behalf in the manner herein after appearing.


Now know we all and those presents witness that I / we, the above named do hereby nominate, constitute and appoint R K Global Shares & Securities Ltd., an Indian Company having it's Registered and Corporate Office at Bungalow No. 31, Mhada Bungalow, Janki Devi Public School Road, Versova, Near Versova Telephone Exchange, Mumbai- 400 053., as my / our true and lawful attorney(s) (Hereinafter referred to as 'The Attorney(s)') for me /us and on my/ our behalf and in my/ our name to do the following acts, deeds and things and exercise the following powers and authorities.


1. To do all such things and give all such instructions as mentioned below concerning, the said account as I/ we myself/ ourselves could give if I / we was/ were personally present.
To instruct the DP to debit securities to the said account and/ or transfer securities from the said account to any other account, to the extent of shares sold through R K Global Shares & Securities Ltd., and R K Global Equity Broking Limited., for Pay-in obligations as well as for Margins towards any stock exchange both in cash and derivatives segments.

2. And I /we hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until I / we have given to the DP Fifteen days advance notice in writing to the contrary.

Signed and delivered)

 _____
1st Holder

 _____
2nd Holder

 _____
3rd Holder

By the within named)
_____)

Date:.....

_____)

In the presence of)
_____)

Place :

_____)

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

BASIC INFORMATION SHEET (INDIVIDUAL)

NAME OF FIRST HOLDER										
FATHER'S/HUSBAND'S NAME										
ADDRESS							PIN CODE :			
OCCUPATION							TYPE OF ACCOUNT : INDIVIDUAL/HUF			
NAME OF THE BANK										
ACCOUNT NUMBER							TYPE : SAVINGS/CURRENT			
ADDRESS OF THE BANK										
MICR					MAPIN ID					
PAN NO.										
MOBILE NO.			TEL. NO.		E-MAIL ID					
NAME OF THE NOMINEE					FATHER'S NAME					
ADDRESS OF THE NOMINEE										
DOB (IF NOMINEE IS MINOR)					NAME OF GUARDIAN					
NAME OF THE 2ND HOLDER										
FATHER'S/HUSBAND'S NAME										
PAN NO.					MAPIN ID					
E-MAIL ID										
NAME OF THE 3RD HOLDER										
FATHER'S/HUSBAND'S NAME										
PAN NO.					MAPIN ID					
E-MAIL ID										
SPECIMEN SIGNATURE OF 1ST HOLDER				SPECIMEN SIGNATURE OF 2ND HOLDER				SPECIMEN SIGNATURE OF 3RD HOLDER		
