

Bagged NSDL Best Performer in Account Growth Rate (Big DP) consecutively for 4 years in 2013, 2014, 2015 & 2016

## ACCOUNT OPENING FORM (TRADING & DEMAT)

### IN-PERSON VERIFICATION

Client Name .....

Code.....

By sign .....

Name of the Employee/AP/SB.....

Date.....

Place.....

Name of the Service Centre.....

**R K Global**  
Shares & Securities Ltd

“Every Client is our Priority”

**Instructions for Filling Account Opening Form (Please read carefully before filling the form)**

1. Please use CAPITAL LETTERS while filling up the Account Opening Form.
2. Trading accounts cannot be opened in joint names.
3. Client should sign at all the places marked as (L).
4. Please affix passport size photographs of the Client/ Constituent/ First Holder / Sole Holder duly signed across, at the space provided.
5. Please affix passport size photographs of Second Holder (if any), Third Holder (if any), Nominee (if any) and Guardian of Nominee (if any) duly signed across for depository account.
6. Please provide a self attested clear photocopy of PAN Card (**MANDATORY**).
7. Please provide copy of documentary evidence of financial details, if opted for trading in derivatives.
8. Please provide a clear self attested photocopy of anyone of the following documents acceptable as Address proof.
  - a) Passport
  - b) Ration Card
  - c) Driving Licence
  - d) Voter ID
  - e) Bank Passbook / Statement
  - f) Aadhar Card
- f) Latest electricity or landline telephone bill (not more than two months old). Telephone bills of fixed wireless phone (TATA, Reliance and other WLL) and mobiles will not be accepted as address proof.
- g) Notarized copy of leave and licence agreement/ agreement for sale/rent agreement  
(Please provide proof of correspondence address only. All communication shall be sent at the correspondence address of the first/sole holder)  
\*Note: Computer generated Bank Statement can be accepted as Proof of Address subject to:
  - i. Original Cancelled cheque required.
  - ii. Bank statement should be printed on the stationery of the bank, carry logo, name & address of the bank.
  - iii. If Bank statement is not printed on bank stationery but is printed on plain paper/computer stationery then it should be duly attested (signed and stamped) by the authorised official of the bank with name & designation of authorised official.
  - iv. The Bank statement should pertain to the latest quarter ending.
9. Please provide a clear self attested photocopy of anyone of the following documents acceptable as Bank Proof containing the name of the client/ constituent/ first/sole holder
  - a) Bank Passbook
  - b) Statement (Not more than three month old)
  - c) Cancelled cheque leaf
10. Please provide photocopy of Holding/Transaction Statement. Client master of each of your existing Depository account if not with R K Global Shares & Securities Ltd.
11. In case of NRI, please provide the following additional self attested documents.
  - a) Photocopy of permission letter issued by RBI/PIS from an authorised dealer.
  - b) Verified copies of proofs of both local as well as foreign address.
  - c) Copy of Passport.
  - d) Valid visa or work permit.
  - e) Bank proof-NRE/NRO saving account.
  - f) In - person verification by Indian embassy/R K Global Official.

(In case the client wants that the correspondence should be sent at foreign address then the postage amount would be charged as per actuals)
12. Please provide cancelled cheque for MICR verification.
13. Please provide an initial cheque in favour of R K GLOBAL SHARES & SECURITIES LTD. towards account maintenance charges.
14. Client/Constituent/First Holder / Sole Holder needs to fill up all the fields marked with asterix(\*). Please note that all the columns of the account opening form are duly filled in and box or space is not left blank. Please strike off the boxes or space, Which are not applicable.
15. All original documents shall be required for verification purposes at the time of submission of form.
16. In case of address change  
Duly Signed Request Letter, ID Proof, Address Proof and Latest Trxn. Statement
17. In case of Bank Detail Change  
Duly Signed Request Letter, Copy of Cancelled Cheque

**Important instructions:**

- A) Fields marked with '\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines instructions at the end.
- E) List of State U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

## R K Global Shares & Securities Ltd

I hereby acknowledge the receipt of copy of duly executed Account Opening Form, Rights and Obligations, RDD and all other documents as executed by me.

Email id : \_\_\_\_\_

Trading Code : \_\_\_\_\_

Contact no : \_\_\_\_\_

Date : \_\_\_\_\_

 (1)

\_\_\_\_\_  
(Signature of 1st Holder)




## R K Global Shares & Securities Ltd

DP ID: IN302453 / IN302951

Date :

Registered Office : 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021  
Ph: 022-42105555, Fax: 91-22-42105500, Email: care@rkglobal.in

With reference to my / our application for opening a depository account, I/we acknowledge the receipt of copy of the Account Opening Form, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	Name	Signature(s) of Account Holder(s)
Sole/1st Holder :		 (2)
2nd Holder :		
3rd Holder :		

## R K Global Shares & Securities Ltd

### Acknowledgement

DP ID: IN302453 / IN302951

Registered Office : 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021  
Ph: 022-42105555, Fax: 91-22-42105500, Email: care@rkglobal.in

Received the application from Mr/Ms \_\_\_\_\_ as the sole/first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date :

Participant Stamp & Signature \_\_\_\_\_



**ACCOUNT OPENING KIT****INDEX OF DOCUMENTS**

<b>Sl. No.</b>	<b>Heading</b>	<b>Page No.</b>
1.	KYC Application Form _ CKYC	1-4
2.	Account Opening Form - Part II	5
3.	Trading & Demat Account Related Details	6-8
4.	Declaration / Pro-disclosuer	9
5.	Demat Charges Schedule	10
6.	Family Flag Request	11
7.	Trading Tariff Sheet	12
<b>Voluntary Document</b>		
8.	Running Account Authorization	12
9.	Power of Attorney	13
10.	FATCA & CRS Declaration	14
11.	Trading Technical and Derivatives	15
12.	Fundamental Research	16
13.	Letter of Authority	17
14.	2 digit code as per Indian Motor Vehicle Act, 1988 and ISO 3166 Country Code	18
15.	CKYC Check List	19

Name of Trading Member : R K GLOBAL SHARES & SECURITIES LTD.

Name of the Clearing Member : SMC GLOBAL SECURITIES LTD.

SEBI Registration No. and date : INZ000187132 Dt. 30.07.2018

Registered Office Address : 61, 6th Floor, Mittal Chambers, 228, Naiman Point, Mumbai-400 021

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

Correspondence Office Address : Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

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

Compliance Officer Name, phone no. & email id : Mr. Kamesh Gupta, +91-11-4310 0999, kgupta@rkglobal.in

For any grievance / dispute please contact R K Global Shares & Securities Ltd at the above address or email to [grievances@rkglobal.in](mailto:grievances@rkglobal.in) and Phone no. 011-4310 0999. In case not satisfied with the response , please contact the concerned exchange (s) at [ignse@nse.co.in](mailto:ignse@nse.co.in) / [investorcomplaints@msei.in](mailto:investorcomplaints@msei.in) / [is@bseindia.com](mailto:is@bseindia.com) and Phone no. 91-1800220051/022-61129028/022-22728097 respectively.

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

 (3)

(Signature of 1st Holder)



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with '\*\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only** (To be filled by financial institution)

Application Type\*  New  Update

KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS** (Please refer instruction **A** at the end)

Prefix  First Name  Middle Name  Last Name

Name\* (Same as ID proof)

Maiden Name (If any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*  DD -  MM -  YY  YY

Gender\*  M- Male  F- Female  T-Transgender


Marital Status\*  Married  Unmarried  Others

Citizenship\*  IN- Indian  Others (ISO 3166 Country Code  )

Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin

Occupation Type\*  S-Service (  Private Sector  Public Sector  Government Sector )  O-Others (  Professional  Self Employed  Retired  Housewife  Student )  B-Business  X- Not Categorised

**PHOTO**



Signature / Thumb Impression

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction **B** at the end)

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

ISO 3166 Country Code of Jurisdiction of Residence\*

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

Place / City of Birth\*  ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction **C** at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

A- Passport Number  Passport Expiry Date  DD -  MM -  YY  YY

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date  DD -  MM -  YY  YY

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number

**4. PROOF OF ADDRESS (PoA)\***

**4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction **D** at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

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

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)  Voter Identity Card  NREGA Job Card  Others  please specify

Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

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

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

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

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

Line 1\*

Line 2

Line 3  City / Town / Village\*

State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications will be sent on provided)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

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

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\*  Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 6 are optional)

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

A- Passport Number  Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

(4) [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies

INSTITUTION DETAILS & KYC VERIFICATION CARRIED OUT BY

Name **R K GLOBAL SHARES & SECURITIES LTD.**

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

- IN-PERSON VERIFICATION (IPV)
- DOCUMENTS VERIFIED WITH ORIGINALS
- CLIENT INTERVIEWED BY

Date / / 20

Employee/Sub-Broker/AP Details:

Name:

Code:

Designation:

Signature:



**Annexure A1**

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address**

**Important Instructions:**

- A) Fields marked with '\*\*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



**For office use only**      Application Type\*     New     Update  
 (To be filled by financial institution)    KYC Number     (Mandatory for KYC update request)

**1. CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

Line 1\*   

Line 2   

Line 3     City / Town / Village\*   

District\*     Pin / Post Code\*     State / U.T Code\*     ISO 3166 Country Code\*   

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

Tel. (Off)    -    Tel. (Res)    -    Mobile    -

FAX    -    Email ID   

**3. 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.


Date : --    Place :

(5)    [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant



**Annexure - J**  
**PART II - ACCOUNT OPENING FORM**  
**(FOR INDIVIDUALS)**

 <p><b>Member of DP (NSDL) DP ID : IN302453 <input type="checkbox"/> / IN302951 <input type="checkbox"/></b>  <b>Registered Office :</b> 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400 021  <b>Ph. :</b> 022-42105555, <b>Fax :</b> 91-22-42105500, <b>E-mail :</b> care@rkglobal.in</p>		<b>Client - ID</b> (To be filled by Participant)																
I/We request you to open a depository account in my/our name as per the following details : (Please fill all the details in CAPITAL LETTERS only)								<b>Date</b>	D	D	M	M	Y	Y	Y	Y		
A)	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)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist											
		<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired											
		<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife											
<input type="checkbox"/> Business		<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student												
<input type="checkbox"/> Professional		<input type="checkbox"/> Other (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Other (Please specify; _____)	<input type="checkbox"/> Professional	<input type="checkbox"/> Other (Please specify; _____)												
Brief Details :																		
B)	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.																	
	a) Name					b) PAN												
C)	<b>Gross Annual Income Details</b>																	
	Income Range per annum (Please tick any one)																	
	<input type="checkbox"/> Below ₹ 1 lac	<input type="checkbox"/> ₹ 1-5 lac	<input type="checkbox"/> ₹ 5-10 lac															
<input type="checkbox"/> ₹ 10-25 lac	<input type="checkbox"/> More than ₹ 25 lac																	
D)	<b>Guardian Details</b> (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																	
	PAN																	
	Relationship of guardian with minor																	

## TRADING & DEMAT ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT(S) DETAILS

Bank Name :  
 Branch Address :  
 Bank account no. :  
 Account Type :  Savings  Current  Others (please specify)  
 MICR Number :  
 IFSC code :

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Name :  
 DP Name :  
 DP ID :  
 Beneficiary Name :  
 Beneficiary ID :

### C. OTHER DETAILS FOR TRADING & DEMAT (IF ANY)

**1. Please tick, if applicable :**

Politically Exposed Person (PEP)

Related to a Politically Exposed Person (PEP)

**2. Any other information :**

**3. Standing Instructions :**

i. I/We authorise you to receive credits automatically into my/our account. : Yes / No

ii. Account to be operated through Power of Attorney (PoA) : Yes / No

iii. SMS Alert facility : \*[Mandatory if you are giving Power of Attorney (PoA) : Yes / No

a) Sole/First Holder : Yes / No      b) Second Holder : Yes / No      c) Third Holder : Yes / No

iv. Mode of receiving Contact Note/Statement of Account [Tick any one]  Physical Form /  Electronic Form

v. I/We would like to instruct the DP to accept all the pledge instructions in my / our account : Yes / No

without any other further instruction from my / our end  
 (If not marked, the default option would be 'No')










vi. I/We would like to share the emailID with the RTA : Yes / No

vii. I/We wish to avail BSDA : Yes / No

viii. Rights & Obligation documents receive  Physical /  Electronics

\* Ensure that mobile no./email id is provided in KYC application form

### D. TRADING PREFERENCES

	Segments	Signature of 1st Holder
1. NSE Cash	<input type="checkbox"/>	 (7)
2. NSE F&O	<input type="checkbox"/>	 (8)
3. NSE Currency	<input type="checkbox"/>	 (9)
4. BSE Cash	<input type="checkbox"/>	 (10)
5. BSE F&O	<input type="checkbox"/>	 (11)
6. MCX Currency	<input type="checkbox"/>	 (12)
7. Demat A/c	<input type="checkbox"/>	 (13)
8. NSE Commodity	<input type="checkbox"/>	 (14)
9. BSE Commodity	<input type="checkbox"/>	 (15)

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

# 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.

**E. 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 during the last 3 years :

**F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

- If client is dealing through the sub-broker, provide the following details :

Sub-brokers Name : \_\_\_\_\_ SEBI Registration number : \_\_\_\_\_

Registered office address : \_\_\_\_\_

Ph : \_\_\_\_\_ Fax : \_\_\_\_\_ Website : \_\_\_\_\_

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker : \_\_\_\_\_ Name of Sub-Broker, if any : \_\_\_\_\_

Client Code : \_\_\_\_\_ Exchange : \_\_\_\_\_

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

**G. ADDITIONAL DETAILS**

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :  YES  NO  
If Yes, Please tick the mode of Trade  Web  EXE
- Number of years of Investment/Trading Experience \_\_\_\_\_
- Any other information : \_\_\_\_\_

**H. INTRODUCER DETAILS (optional)**

Name of the Introducer : .....

(Name)

(Middle Name)

(Surname)

Status of the Introducer : Sub-broker/Authorized Person/Existing Client please specify: \_\_\_\_\_

Address and phone no. of the Introducer : \_\_\_\_\_ Signature of the Introducer : \_\_\_\_\_

**TYPE OF ACCOUNT**

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Ordinary Resident          | <input type="checkbox"/> NRI-Repatriable         | <input type="checkbox"/> NRI-Non Repatriable |
| <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Foreign National        | <input type="checkbox"/> Promoter            |
| <input type="checkbox"/> Margin                     | <input type="checkbox"/> Others (Please specify) |  |

In case of NRIS/Foreign Nationals :-

RBI Approval Reference Number :-

RBI Approval date :-

**I. DIS Booklet (please tick any one)****Option for issuance of DIS booklet along with account opening**

(To be filled by persons seeking to open a depository account who have given 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)

- I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us on my/our request at later date.
- I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

**J. NOMINATION DETAILS (for trading & demat, if any)**

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 wish to nominate

I/We do not wish to nominate



**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/We undertake to inform you of any change therein, immediately.
2. I/We hereby confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/nonmandatory documents.
3. I/We hereby confirm having read and understood the contents of the 'Rights and Obligations' documents(s), 'Risk Disclosure Document' and 'Do's and Don't's'. I/We do hereby agree to be bound by such provisions and outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.
4. 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 hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations. I/We acknowledge the receipt of copy of the document. "Rights and Obligations of the Beneficial Owner and Depository Participant".
5. I/We hereby give consent to receive information from Central KYC Registry through SMS/Email on the above registered mobile number/email address.

Place :

 (17)

(Signature of 1st Holder)



(Signature of 2nd Holder)



(Signature of 3rd Holder)

Date :

**PRO DISCLOSURE**

To,

Dear Sir / Madam,

Under instruction of SEBI, The National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), Metropolitan Stock Exchange Ltd. (MCX-SX) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we as a company do engage in proprietary Business in the National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. / Metropolitan Stock Exchange Ltd.

Kindly take note of the above and oblige.

Thanking you

For R K Global Shares & Securities Ltd

Authorised Signatory

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the Employee	
Date :	
Signature	

*I/We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/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, if any, for the information*

Date :

Signature of the Authorised Signatory

Seal/Stamp of the Member

**CHARGE SCHEDULE**

Content		DP Id - IN302951/IN302453
<b>ACCOUNT OPENING CHARGES</b>		
a.	Account Opening Charges	FREE
<b>ACCOUNT MAINTAINCE CHARGES</b>		
b.	Account Maintaiance Charges (charged from 2nd year)	Rs 250/-
<b>TRANSACTION CHARGES</b>		
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)
c.	Dematerialisation	NIL
d.	Rematerialisation	Minium Rs.40/, or Rs20/-For Every Hundred Securities(whichever is higher)
e.	Pledge/Lending/Borrowing Request	Rs.25 per request
f.	UnPledge Request	Rs.25 per request
<b>DELIVERY INSTRUCTION</b>		
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
<b>PERIODIC/NON PERIODIC STATEMENT</b>		
a.	Periodic Statement - Email	NIL
b.	Periodic Statement - Physical	NIL
c.	Non Periodic Statement - Email	NIL
d.	Non Periodic Statement - Physical	NIL
e.	Postal Charges per Demat/Remat/Demat Rejection/Periodic & Non Periodic Statement	Rs 50/- per courier

\* Cheque of Rs 50/- is required at the time of account opening which is adjusted towards the transaction cost.POA Charges Rs.20/-Monthly

**NOTE :**

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

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 Maintaiance 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**

\_\_\_\_\_  
1st Holder

\_\_\_\_\_  
2nd Holder

\_\_\_\_\_  
3rd Holder



### Format of Request

*[Please tick (✓) wherever applicable]*

<b>DP ID</b>		<b>Clint ID</b>		<b>Date</b>	
<b>Name of account holder</b>					
<input type="checkbox"/> <b>Mobile Number</b>					
<input type="checkbox"/> <b>Email ID</b>					
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent childreenn and dependent parents)					
<b>Signature of account holder</b>					
<b>Name of account holder</b>					

### Format of Request

*[Please tick (✓) wherever applicable]*

<b>DP ID</b>		<b>Clint ID</b>		<b>Date</b>	
<b>Name of account holder</b>					
<input type="checkbox"/> <b>Mobile Number</b>					
<input type="checkbox"/> <b>Email ID</b>					
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent childreenn and dependent parents)					
<b>Signature of account holder</b>					
<b>Name of account holder</b>					









### Format of Request

*[Please tick (✓) wherever applicable]*

<b>DP ID</b>		<b>Clint ID</b>		<b>Date</b>	
<b>Name of account holder</b>					
<input type="checkbox"/> <b>Mobile Number</b>					
<input type="checkbox"/> <b>Email ID</b>					
I hereby declare that the aforesaid mobile number of E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent childreenn and dependent parents)					
<b>Signature of account holder</b>					
<b>Name of account holder</b>					

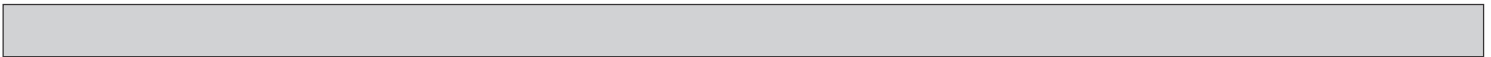
**TARIFF SHEET**

**BROKERAGE STRUCTURE**

<b>Brokerage Slab</b>	<b>Per Lot (#)</b>	<b>% (*)</b>	<b>Min. Paisa</b>	<b>Sign in case of cutting</b>
Delivery Based				 (19)
Daily Square up				 (20)
Equity Future				 (21)
Equity Option				 (22)
Currency Future				 (23)
Currency Option				 (24)
NSE Commodity				 (25)
BSE Commodity				 (26)

\* : Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.

# : Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per Lot only.



**POWER OF ATTORNEY**

To all to whom these presents shall come I / we .....Indian Inhabitants send greetings.  
Where 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 office at 61,6<sup>th</sup>Floor,Mittal Chambers,228 Nariman Point, Mumbai-400021 and.....(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.,as a stock broker and Trading Member of National stock exchange of India Limited and Bombay stock Exchange having SEBI Registration No.INZ000187132. An Indian Company having it's Registered Office at 61,6<sup>th</sup> Floor, Mittal Chambers, 228 Nariman Point, Mumbai-400021, 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 below mentioned Demat Accounts, to the extent of securities sold through R K Global Shares & Securities Ltd, for Pay-in obligations as well as for Margins towards any stock exchange both in cash and derivatives segments.
2. To apply for various products like Mutual Funds, Public Issues(Shares as well as debentures),rights,offer of shares,tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us.. To apply for redemption or repurchase of units of Mutual Fund by signing & submitting requests to Depository Participant for processing on my/our behalf.
3. And I / we hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until notice of revocation given by me/us in writing to R K Global Shares & Securities Ltd. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

The following list of Demat Account(s), where the shares/securities will be transferred w,e,f October 01,2019 and from time to time,for meeting the Pay-In and margin obligations arising out of the trades executed by you on the stock exchange(s) through "R K GLOBAL SHARES AND SECURITIES LIMITED"(COMPANY).

CM NAME	CMBP ID	A/C NO.
R K GLOBAL SHARES & SECURITIES LIMITED (NSE)	IN559600	IN302453-10000077
R K GLOBAL SHARES & SECURITIES LIMITED(BSE)	IN662182	IN302453-10146921
BO NAME (For MF Redemption)	CMBPID	A/C NO
NATIONAL SECURITIES CLEARING CORPORATION LTD(NCL)	IN565576	1100001100017837
BOI SHAREHOLDINGLTD/INDIAN CLEARING CORPORATION LTD	IN620031	1100001000020972
CM NAME	DPID	A/C NO
R K GLOBAL SHARES & SECURITIES LIMITED(Client Collateral Account)	IN302453	10264333
R K GLOBAL SHARES & SECURITIES LIMITED(NSE CM POOL)	12014100	00001056
R K GLOBAL SHARES & SECURITIES LIMITED(BSE CM POOL)	12014100	00017691

(Signed and delivered)

\_\_\_\_\_ **1<sup>st</sup> Holder**

\_\_\_\_\_ **2<sup>nd</sup> Holder**

\_\_\_\_\_ **3<sup>rd</sup> Holder**

**Mobile No -**

( By the within named )

Date : .....

\_\_\_\_\_

\_\_\_\_\_

(In the presence of)

Place : .....

\_\_\_\_\_

\_\_\_\_\_

<b>R K GLOBAL</b>	<b>FATCA &amp; CRS Declaration - Individual</b>
-------------------	---

PAN No. : \_\_\_\_\_ Trading Code: \_\_\_\_\_  
 DP ID : \_\_\_\_\_ Client ID : \_\_\_\_\_  
 Name : \_\_\_\_\_  
 Place of Birth : \_\_\_\_\_ Country of Birth : \_\_\_\_\_  
 Nationality : \_\_\_\_\_  
 Annual Income :  Below 1 Lac  1 Lac to 5 Lac  5 Lac to 10 Lac  
                            10 Lac to 25 Lac  25 Lac to 1 Crore  Above 1 Crore  
 Net Worth \_\_\_\_\_ Net Worth as on : \_\_\_\_\_

(Net worth should not be older than 1 year)  
 Occupational Detail :  Business  Private Sector  Professional  Govt. Service  
                                    Agriculturist  Public Sector  Housewife  Student  
                                    Retired  Forex Dealer  Other \_\_\_\_\_ (Pl Specify)

Politically Exposed person (PEP)  Related to Politically Exposed person (RPEP)   
 Are you a tax resident of any country other than India  Yes  NO

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below:

Sr.No.	Country	Tax Identification Number	Identifacation Type (TIN or Other, please specify)
1.			
2.			
3.			
4.			

**DECLARATION**

I have read and understood the information requirements and the Terms & Conditions mentioned in this form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this form is true, correct and complete. I hereby agree and confirm to inform R K Global Shares and Securities Ltd for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI)

Signature of 1st Holder (29)

Date: \_\_\_\_\_ Place : \_\_\_\_\_

Please submit the form fully filled, signed, for all the holders, separately and submit at your nearest **R K Global Shares & Securities Ltd** branch or you can dispatch the hard copy to-

R K Global Shares & Securities Ltd  
 Mezzanine Floor, Room No. 37  
 Fortune Chambers, Turner Morrison Building  
 6, Lyons Range, Kolkata - 700 001

## TRADING TECHNICAL AND DERIVATIVES RESEARCH (TTD)

Caution : Trading in the derivatives segment or in the capital market segment using technical charts or short term indicators (trading calls) is a high risk and requires skill, experience and knowledge of the capital markets. Certain transactions including those involving futures, options and other derivatives as well as non- investment grade securities involve substantial risk and are not suitable for all investors. STOP LOSS ORDERS help limit loss but even placing contingent orders, such as stoploss or sotplimit orders will not necessarily limit your losses to the intended amounts, and it is important that only a small portion of your corpus is allocated to such trading. Leverage can lead to large losses as well as gains. You may sustain a total loss of the initial margin funds and any additional funds that you deposit with us to establish or maintain a position, and you incur losses beyond your initial investment.

### TERMS AND CONDITIONS

R K Global Shares & Securities Ltd. (R K Global) will, at its discretion, provide its trading call, technical and derivatives reports as also market news to its clients either in the form of a written market commentary or research report sent in e-mail, fax form, SMS or through postal or courier service. A brief extract of the TTD reports may also be sent, on enrolment, in SMS, e-mail or fax form.


### To avail of TTD reports, clients are required to understand and confirm/accept the following :

1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Cleints are also to read and understood the important disclosures and disclaimers forming part of each report.
2. TTD reports are for the general information of clients of R K Global. They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
3. No informations published in TTD Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in TTD reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
4. The information published and opinions expressed provided by R K Global for personal use and for informational purposes only and are subject to change without notice, R K Global makes no representation (either express or implied) that the information and opinions expressed in TTD Reports will be accurate, complete or up to date. Clients should obtain device from a qualified expert before making any trading decision. The stated price of any securities mentioned in TTD Reports will be as of the date indicated and is not a representation that any transaction can be effected at this price. Neither R K Global nor other persons shall be liable for any direct, indirect, special, incidental, consequential, positive or exemplary damages, including lost profits arising in any way from the information contained in TTD Reports.
5. R K Global will exercise due diligence in checking the correctness and authenticity of the information contained in TTD Reports, but R K Global or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in TTD Reports or any action

- Reports. Price and value of the securities forming part of TTD Reports may go up or down. Past performance is not guide for future performance.
6. R K Global may use brand names for all or any of TTD reports. Such names would represent the brand and not the nature or feature of TTD reports.
  7. TTD reports will include commentary on derivatives trading, technical analysis and limited review of stocks and may not be based on comprehensive
  8. R K Global has two independent equity research groups : Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of TTD Reports. A designated team form the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in TTD Reports may or may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the TTD Reports with regard to estimates, rating, target price as evaluation are based on different criteria.
  9. The contents of the TTD Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distrubuted for any non-personal use without obtaining prior permission from R K Global.
  10. The proprietary trading and investment businesses of the R K Global Group may make investment decisions that are inconsistent with the views expressed in the TTD reports.
  11. R K Global and its affiliates, officers, directors and employees world-wide may : (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies) mentioned in the TTD Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company(ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in TTD Reports.
  12. R K Global reserves the option to provide all or any of the TTD reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
  13. Clients who enroll for SMS/e-mail/fax delivery of brief extract of TTD reports
  14. R K Global does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the TTD reports or their extracts. The same is provided on an as- is and as-available basis.
  15. Users should check with their service providers/operator for charges, if any.

### CLIENT ACCEPTANCE

I/We hereby acknowledge that, R K Global may at its discretion, at my/our request provide me/us with TTD Reports of its brief extract. I/We have made the request after understanding and accepting its terms, conditions and risks set forth above.

Signature 1st Holder :  (30) \_\_\_\_\_

Date : \_\_\_\_\_

Client Code : \_\_\_\_\_

Place : \_\_\_\_\_

Client Name : \_\_\_\_\_

## FUNDAMENTAL RESEARCH

### TERMS AND CONDITIONS


R K Global Shares & Securities Ltd. (R K Global) will, at its discretion, provide its trading company research reports/news, results and event updates/sector reports monthly commentary/regular compendium (together Reports) to its clients either in the form of a written market commentary or research report sent in e-mail, fax form, SMS or through postal or courier service. A brief extract of the TTD reports may also be sent, on enrolment, in SMS, e-mail or fax form.

#### To avail of reports, clients are required to understand and confirm/accept the following :

1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understand the important disclosures and disclaimers forming part of each report.
2. The reports are for the general information of clients of R K Global. They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
3. No information published in Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
4. The information published and opinions expressed provided by R K Global for personal use and for informational purposes only and are subject to change without notice, R K Global makes no representation (either express or implied) that the information and opinions expressed in Reports will be accurate, complete or up to date. Clients should obtain advice from a qualified expert before making any trading decision. The stated price of any securities mentioned in Reports will be as of the date indicated and is not a representation that any transaction can be effected at this price. Neither R K Global nor other persons shall be liable for any direct, indirect, special, incidental, consequential, positive or exemplary damages, including lost profits arising in any way from the information contained in Reports.
5. R K Global will exercise due diligence in checking the correctness and authenticity of the information contained in Reports, but R K Global or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in Reports or any action taken on basis of Reports. Price and value of the securities forming part of Reports may go up or down. Past performance is not guide for future performance.
6. R K Global may use brand names for all or any of reports. Such names would represent the brand and not the nature or feature of reports.
7. R K Global has two independent equity research groups : Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of Reports. A designated team from the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in Reports may or may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the Reports with regard to estimates, rating, target price as
8. The contents of the Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from R K Global.
9. The proprietary trading and investment businesses of the R K Global may make investment decisions that are inconsistent with the views
10. R K Global and its affiliates, officers, directors and employees world-wide may : (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies) mentioned in the Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company(ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in Reports.
11. R K Global reserves the option to provide all or any of the reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
12. Clients who enroll for SMS/e-mail/fax delivery of brief extract of reports are required to read the full reports.
13. R K Global does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the reports or their extracts. The same is provided on an as-is and as-available basis.
14. Users should check with their service providers/operator for charges, if any.

### CLIENT ACCEPTANCE

I/We hereby acknowledge that, R K Global may at its discretion, at my/our request provide me/us with TTD Reports of its brief extract. I/We have made the request after understanding and accepting its terms, conditions and risks set forth above.

Signature of 1st Holder  (31) \_\_\_\_\_

Client Name : \_\_\_\_\_

Date : \_\_\_\_\_

Client Code : \_\_\_\_\_

Place : \_\_\_\_\_

**LETTER OF AUTHORITY**

To,

**R K Global Shares & Securities Ltd.**

Regd. Office : 61, 6th Floor, Mittal Chambers  
228, Nariman Point, Mumbai - 400 021

**STANDING INSTRUCTIONS/AUTHORISATION**

I/we have been/shall be dealing through you as my broker on the Capital Market, Futures & Options Segments and/or Currency Segment. As my Broker i.e. agent I/we direct and authorise you to carry out trading/dealings on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorisations given and carried out by you earlier.

1. Maintain a running account in my/our name your books of accounts and issue me/us cheques for the credit balance only as and when requested by me/us in writing
2. Retain securities from my/our securities payout with you till request is made by me/us.
3. Retain payout of funds and/or securities to meet our margin and pay in obligations and/or debit my/our running account for the margin payable by me/us.
4. Transfer funds and/or securities from my/our account/running account in the Capital Market Segment to my/our Derivatives running account and vice versa whenever applicable and found necessary by you.
5. I understand that you require written instructions for receiving/modifying or cancelling orders. However, since it is not practical to give written instructions for every order, I hereby authorise you to kindly accept my/my authorised representatives, verbal instructions/orders in person or over phone and execute the same.
6. 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.
7. 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 of 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.
8. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal, unless otherwise requested by me in writing.
9. Pledge/deposit the my/our securities and/or funds whether deposited as collateral/Margin or permitted by us to be retained in running account etc. by you with any bank or any other institution including the Exchange/Clearing Corporation/Clearing House for the purposes of raising funds, bank guarantees and FDRs etc. towards Margin/Collateral as also to meet shortfall in my/our funds/securities pay in obligation/auctions or assignment of contracts or any other liability arising out of anyour dealings with you/through you. You are further, authorised to sell/liquidate these securities/FDRs at the time and manner of your choosing and as and when deemed fit by you in your absolute discretion to meet any shortfalls in our accounts or any other liability of mine/ours without any reference to me/us.
10. Debit the additional changes payable by me/us as per your rules & regulations as ammended from time to time.
11. I/we hereby authorise you to keep all the securities which I /we have given you in margin including the payout securities received by us for meeting margin/order obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and/or taking loan against the same or meeting margin/pay-in obligation on my/our behalf or for giving the same as margin to the any of the stock exchanges or otherwise.
12. I/we will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
13. 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 full. I understand that you are not making any representation or warranty that your service will be available to the clients at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non availability or malfunctioning of your system or service for any reason whatsoever.
14. 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.
15. I/we am/are agreeable for inter-settlement transfer of securities towards settlement.
16. 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.

You are requested to follow the above-mentioned standing instructions until further written instruction.

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


Thanking you,

Yours faithfully,

Client Name :

Place :

Date :

Signature of 1st Holder :  (32)

**AUTHORITY LETTER FOR SETTLEMENT OF RUNNING ACCOUNT OF FUNDS IN CM SEGMENT AND FUNDS & SECURITIES IN F&O AND CD SEGMENT**

Date: \_\_\_\_\_

To

R K Global Shares & Securities Limited  
Flat No-5, Sagar Apartment  
Tilak Marg  
New Delhi-110001

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with Broker.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize Broker to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we also confirm that the securities lying in Client collateral A/c/Collateral account for onward transfer to CC/CM should be considered as margin deposit / collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us. against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin in the Client collateral account/Collateral Account for onward transfer to CC/CM.
6. I/we hereby authorize you to pledge my / our securities deposited as margin by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a calendar quarter or month and the statement of account for the same will be provided to me by Broker.
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite securities / funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligation of funds & securities due from me / us as on the date of settlement and for next day's business, the Trading Member may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.
11. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.



12. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading

Member preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be.

13. There must be a gap of maximum 90/30 days (as per the choice of the client viz. Qtrly/Monthly) between two running account settlements.

14. I We Authorize you to retain an amount upto Rs 10000/- (Consolidated amount across segments and across stock exchanges) for actual settlement of that respective traded quarter/month.

**PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT**

**Settlement Preferences**  Monthly  Quarterly

Thanking you

Yours faithfully,

\_\_\_\_\_

Signature

(Note : To be signed by person himself/herself and not to be signed by his/her attorney/authorised person etc.)

## List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

## List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire !Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion IRéunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy ISaint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

## CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

### General Instructions:

- 1 Fields marked with '\*' are mandatory fields.
- 2 Tick  wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two -digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick  in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

### A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **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 that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

### C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

### D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

### E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

### F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91 -9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

### G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

### H Clarification / Guidelines on filling 'Related Person details - Proof of Identity [PoI] of Related Person' section

- 1 Mention identification / reference number if 'Z - Others (any document notified by the central government)' is ticked.

**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 the facility by giving 10 days prior notice.

- ❖ Strike off whichever is not applicable.

- ❖ 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 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 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.

- ❖ Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.

- ❖ 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 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 shall not be under any obligation to transfer the securities 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 nominee by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominee 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.

## Registered Office :

61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400021  
Phone : +91-22-4210 5555, Email : mumbai@rkglobal.in

## Regional Offices :

### Ahmedabad

603, Aniket Building, C. G. Road, Ahmedabad - 380 009  
Phone : +91-79 - 4002 0999, Email : ahmedabad@rkglobal.in



### Bengaluru

No. 1554, 22nd Main, 39<sup>F</sup> Cross, 4th T-Block, Jayanagar  
L.M.: Jain University Gate-4 (Opposite Rd), Bengaluru-560 041  
Phone : +91-80-2654 0101, Email : bengaluru@rkglobal.in



### Chennai

No.163/2 Kutcherry Road, Mylapore, Chennai - 600 004  
Phone : +91-44-4057 7999, Email : chennai@rkglobal.in



### Delhi

Flat-5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001  
Phone : +91-11-4310 0999, Email : care@rkglobal.in



### Jaipur

Suite No. 248, Ganpati Plaza, 2nd Floor, M. I. Road, Jaipur - 302 001  
Phone : +91-141-404 0999, Email : jaipur@rkglobal.in



### Kolkata

Mezzanine Floor, Room No. 37, Fortune Chambers  
Turner Morrison Building, 6 Lyons Range, Kolkata-700 001  
Phone : +91-33-4014 1999, 4017 4999, Email : care.kolkata@rkglobal.in



### Salem

# B4, First Floor, Jayam Residency, Fairlands, Salem-636004  
Landmark Next of SKS Hospital  
Phone : +91-0427-244 0799, Email : salem@rkglobal.in

## Centralized Contact Details :

New Account	: +91-33-4004 0999
Call & Trade	: +91-33-4014 1940
Call & Trade (NOW)	: +91-33-4014 1930
RMS / Surveillance	: +91-33-4014 1920
Technical (24x7)	: +91-33-4014 1950
Back Office	: +91-33-4014 2920
Other Queries (24X7)	: +91-33-4014 2930