

ACCOUNT OPENING KIT

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Name of stock broker/trading member/clearing member : **R K GLOBAL SHARES & SECURITIES LTD**

SEBI Registration No. and date : INB/INE/INF 230825035, INF 260825035, INB/INF 010825033

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

CEO name, Phone no. & email id : Mr. Amit Bhagchandka, +91-11-4310 0999, ceo@rkglobal.in

For any grievance/dispute please contact R K Global Shares & Securities Ltd at the above address or email id- 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/ investorcomplaints@mcx-sx.com/is@bseindia.com and Phone no. 91-1800220051/22-67318933/22-22728097 respectively.

I/we have fully understood the distinction and details regarding the Mandatory/Non-Mandatory and do hereby enter and sign the same and agree not to call into question the validity, enforce ability 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.

Sign here.....

R K Global Shares & Securities Ltd.

I/We hereby acknowledge the receipt of duly executed copy of account opening form, Rights and Obligations, RDD and all other documents as executed by me/us. I/We acknowledge that the other details related to my/our account are as under:

Trading Code_____

UCC_____

My email id_____

Contact no._____

(Signature of client)

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Individuals

I request you to register myself as your client and enable me to trade in the Cash/F&O/Currency Derivatives Segment of the National Stock Exchange of India Ltd., Cash/F&O Segment of the Bombay Stock Exchange Ltd. & in the Currency Segment of the MCX Stock Exchange. Pursuant to the Agreement entered into with you, I have read the Rules, Bye-laws & Regulations of the Cash, F&O and Currency Derivatives Segment of the NSE/BSE & MCX Stock Exchange ("the Exchange") & agree to abide by them. In this regard, I give the following information :

Please affix your recent passport size photograph and sign across it

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. Name of the Applicant : F I R S T M I D D L E L A S T
2. Father's/Spouse Name :
3. a. Gender : Male Female b. Marital Status : Single Married c. Date of Birth : M M D D Y Y Y Y
4. a. Nationality : b. Status : Resident Individual Non Resident Foreign National
5. a. PAN : b. Unique Identification Number (UID) Aadhaar, if any :
6. Specify the proof of Identity submitted :

B. ADDRESS DETAILS

1. Address for correspondence : City/town/village : Pin Code : State : Country :
2. Contact Details : Tel. (Off.) Tel. (Res.) Mobile No. : Fax : E-mail :
3. Specify the proof of address submitted for correspondence address :
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : City/town/village : Pin Code : State : Country :
5. Specify the proof of address submitted for permanent address :

C. OTHER DETAILS

1. Gross Annual Income Details (please specify) : Income Range per annum :
 Below Rs. 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
or
Net-worth as on (date) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details) :
 Private Sector Government Service Professional Retired Student
 Public Sector Business Agriculturist Housewife Others
3. Please tick, if applicable : Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
4. Any other information :

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.

Signature of the Applicant

Date : M M D D Y Y Y Y

FOR OFFICE USE ONLY

- (Originals verified) True copies of documents received
 (Self-Attested) Self Certified Document copies received

(.....)

Signature of the Authorised Signatory

Date

(1)

Seal/Stamp of the intermediary

TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank account no.	Account Type : Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

C. TRADING PREFERENCES

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

Exchanges	Segments			
NSE	Cash		MCX-SX	
	F&O			
	Currency			
BSE	Cash		Currency Derivatives	
	F&O			

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.

D. PAST ACTIONS

1 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 :

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

1 If client is dealing through the sub-broker, provide the following details :
 Sub-broker's Name : SEBI Registration number :
 Registered office address :

Ph : Fax : Website :

1 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 :

F. ADDITIONAL DETAILS

1 Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : Yes No
 Specify your Email id, if applicable :
 1 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 Based ODIN
 1 Number of years of Investment/Trading Experience :
 1 In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others :
 1 Any other information :

G. INTRODUCER DETAILS (optional)

Name of the Introducer :
 (Surname) (Name) (Middle Name)
 Status of the Introducer : Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....
 Address and phone no. of the Introducer : Signature of the Introducer :

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate **I/We do not wish to nominate**
 Name of the Nominee : Relationship with the Nominee :
 PAN of Nominee : Date of Birth of Nominee :
 Address and phone no. of the Nominee :

If Nominee is a minor, details of guardian :

Name of guardian :
 Address and phone no. of Guardian :
 Signature of guardian :

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

Name : Name :
 Signature : Signature :
 Address : Address :

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place..... (.....)
Date..... **Signature of Client/ (all) Authorized Signatory (ies)**

UCC Code allotted to the Client :

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

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

.....
Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock

broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be

binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall

provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS :

1.1 Risk of Higher Volatility :

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

1.2 Risk of Lower Liquidity :

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

1.3 Risk of Wider Spreads :

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

1.4 Risk-reducing orders :

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

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

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

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

1.5 Risk of News Announcements :

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

1.6 Risk of Rumors :

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

1.7 System Risk :

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

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

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

1.8 System/Network Congestion :

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks :

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders :

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

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

2.4 Risks of Option Writers :

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.
 - d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

POLICIES & PROCEDURE

1. Refusal of orders for penny / illiquid stock

The stock broker may from time to time limit (quantity/ value)/ refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI. Provided further that stock broker may require compulsory settlement / advance payment of expected settlement value / delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

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

The stock broker is required only to communicate / advise the parameters for the calculation of the margin / security requirements as rate(s) / percentage(s) of the dealings, through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / security requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of security) on his / her / its own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his/her/its orders / trades / deals and to ensure that the required margin / security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he / she / it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/ or any claim/ loss / damage arising out of the non availability / shortage of margin / security required by the stock brokers / or exchanges / or SEBI.

The stock broker is entitled to vary the form (Le., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or security required to be deposited / made available, from time to time.

The margin / security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include / appropriate any / all payout of funds & / or securities towards margin / security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds & / or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his / her / its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.

The stock broker is entitled to disable / freeze the account & / or trading facility / any other service, facility, if, in the opinion of the stock broker, the client has committed a crime/ fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under :

a. For Cash Market Segment : The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.

b. For Option contracts : Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract.

It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

4. Imposition of penalty / delayed payment charges

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates as may be determined by the stock broker.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades/ deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment / backlogs etc.). transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the stock broker.

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

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities /funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or stock broker level / non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

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

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security & / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities / shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

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

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund / security or to meet the funds/margins/ securities Day in obligations for the orders / trades / deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps :

- i. To withhold any payout of funds / securities.
- ii. To withhold / disable the trading / dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- iv. To liquidate / square off partially or fully the position of sale & / or purchase in anyone or more securities / contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.
- v. To take any other steps which in the given circumstances the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

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

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her / its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under :

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official dosing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

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

- i. The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and / or other obligation.
- ii. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

8. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances :

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.

- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/ her / its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

Inactive Client Account :

Client account will be considered as inactive if the client does not trade for a period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive. Steps will be taken for transferring the shares/credit balance, if any, to such client within one week of identifying the client as inactive. Whenever such inactive account holders restart trading, a written request will be taken from the client to ensure that there is no error in identification of the client and after all due diligence client account will re-activate. Trading the exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problem or slow or delayed response from system or trading half of any break down in our back office/front and system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell orders either in part or in full. I/we shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove :

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

TARIFF SHEET

BROKERAGE STRUCTURE

Brokerage Slab	Per lot	%	Min. Paisa	
Delivery Based	<input type="text"/>	<input data-bbox="614 309 783 365" type="text" value="%"/>	<input data-bbox="880 309 1050 365" type="text" value=".00"/>	Sign here in case of any cutting
Daily Square up	<input type="text"/>	<input data-bbox="614 376 783 432" type="text" value="%"/>	<input data-bbox="880 376 1050 432" type="text" value=".00"/>	
Equity Future	<input type="text"/>	<input data-bbox="614 443 783 499" type="text" value="%"/>	<input data-bbox="880 443 1050 499" type="text" value=".00"/>	
Equity Option	<input type="text"/>	<input data-bbox="614 510 783 566" type="text" value="%"/>	<input data-bbox="880 510 1050 566" type="text" value=".00"/>	
Currency Future	<input type="text"/>	<input data-bbox="614 577 783 633" type="text" value="%"/>	<input data-bbox="880 577 1050 633" type="text" value=".00"/>	
Currency Option	<input type="text"/>	<input data-bbox="614 645 783 701" type="text" value="%"/>	<input data-bbox="880 645 1050 701" type="text" value=".00"/>	

* : 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.

Important Note : In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date would be charged toward minimum processing fee. Transaction Charges & other statutory levies will be charges extra.

PRO DISCLOSURE

To,

Dear Sir / Madam,

Under instruction of SEBI, The National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), MCX 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. / MCX Stock Exchange Ltd.

Kindly take note of the above and oblige.

Thanking you

Truly Yours

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

Authorised signatory

I have read the above letter.

NON-MANDATORY

NSE - MFSS Facility

(Letter to be provided by the Investor to the Participant)

Date :

To,
R K Global Shares & Securities Ltd.
Registered Office : 61, 6th Floor, Mittal Chambers
228 Nariman Point, Mumbai - 400 021
Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in
Corporate Office : Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001
Ph. : 011-23382345 / 3517 / 7420, 43100999
Fax : 91-11-23385640, E-mail : care@rkglobal.in, Website : www.rkglobal.net

Dear Sir,

Sub : Mutual Fund Service System (MFSS) facility

I/We..... am/are registered as your client with Client Code No..... and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

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

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

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

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

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

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

Thanking you,

Yours faithfully,

— _____

Signature :

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

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

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

2. Terms and Conditions

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

— _____

RUNNING ACCOUNT AUTHORISATION

To,
R K Global Shares & Securities Ltd.

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

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, I / we further authorise you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorise you to carry out trading/ dealings on my/our behalf as per instructions given below.

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

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorise to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (register of securities) displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR),

Please further note that while I am entitled to revoke this authorisation at any time, however, such termination shall be subject to notice period of fifteen days from the date of physical delivery of revocation letter at your registered office to allow you to make necessary changes to handle my account without running account authorisation. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

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

Once in a Calender Quarter

Once in a Calender Month

Thanking you,
Yours faithfully,

— _____

Signature with date

Name :.....

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

LIEN & SET-OFF

Name :

Address :

.....

To,

1) R K Global Shares & Securities Ltd.

(Member : NSE, BSE, MCX-SX)

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

2) R K Global Shares & Securities Ltd.

(Depository Participant NSDL)

3) R K Global Commodity Broking Ltd.

(Member : NCDEX, MCX, NSEL)

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

4) R K Global Equity Broking Ltd.

(Member : BSE)

2, Saklat Place, 2nd Floor, Kolkata-700 072

(Hereinafter jointly referred as 'R K Global')

Dear Sir,

Sub : Right to Exercise Set-Off / Lien

I/We,an individual/a sole proprietary concern/a partnership firm body corporate/Trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 any relevant Act, having my/our residence/registered office at.....

..... (hereinafter referred to as the "Client")

That I/we , am/are a Client of R K Global Shares & Securities Ltd. and/or R K Global Commodity Broking Ltd. and/or R K Global Equity Broking Ltd. (Jointly referred to as R K GLOBAL) and have execute seperate Member Client Agreement with each of the aforesated company/ies for investing/trading in securities and/or commodities and/or currencies admitted/permitted for dealing on the respective Exchanges and also for investing/trading in those contracts admit permitted for dealing on the Derivatives Market Segment of the respective Exchanges.

That in respect to the aforesated agreements, I/we hereby authorise R K GLOBAL to exercise the right to set off the balances in my accounts with R K GLOBAL in any segment/exchange with respect to monies, securities and/or commodities and/or currencies. All money securities or other property, which R K GLOBAL may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to R K GLOBAL under these agreements. The right of lien and set-off conferred to R K GLOBAL by me/us are as follows :

1. All securities in the demat account opened (if any) with the Depository Participant (namely R K Global Shares & Securities Ltd.) shall be subject to for the discharge of any or all payments due to R K GLOBAL from me/us or any other obligations to R K GLOBAL and may be held by R K GLOBAL a security against default by me/us in respect of the services already availed of by me/us from R K GLOBAL.
2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of R K GLOBAL.
3. I/We agree that R K GLOBAL shall have the right of set-off amongst all trading accounts) maintained by me/us with R K GLOBAL.
4. The right of set-off as aforesaid shall extend to my/our trading accounts with respect to all broking transactions with associated concerns, affiliates or sister concerns of R K GLOBAL as though such accounts are maintained with R K GLOBAL.

Furthermore, the aforesated lien/set-off conferred on R K GLOBAL shall subsist even after the termination of the aforesated Member-Client Agreements with R K GLOBAL until all obligations under the said agreements are satisfied fully by me/us. The said right of lien/set-off shall exercised by R K GLOBAL jointly and/or, severally by each of the aforesated companies.

Thanking you.

Yours truly,

Signature - _____

ADJUSTMENT OF BALANCES IN FAMILY / GROUP ACCOUNTS IN CASE OF INDIVIDUALS

To,

Date :

R K Global Shares & Securities Ltd.**Registered Office :** 61, 6th Floor, Mittal Chambers

228 Nariman Point, Mumbai-400 021

Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in

Sir,

Sl. No.	CLIENT code of family MEMBER/Associate	Name of family constituent/ Associate	Signature of Person

We the above mentioned family/group members have been regularly trading and investing with you on the Stock Exchange NSE.

For the purpose of operations with you, we agreed to be treated as a family/group account.

In order to facilitate operations, we hereby authorise you to set off and adjust the outstanding of moneys and / or securities in any of the above mentioned accounts against credits of moneys and/or securities available or arising in any of the above accounts irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of any exchange and / or against the value of cash margin or collateral shares provided to you by any member(s) of the family / group.

We agree to intimate you from time to time of any additions or deletions of clients to the said family/group . We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all account of the clients belonging to the family/group.

In order to facilitate operations, we authorise the Member to maintain a running account instead of a settlement-to-settlement clearance of dues or delivery of securities to us. The adjustment of account balances shall be done on a day to day base and also at the time of closure of account.

We have affixed our signatures above consenting to the abovementioned terms of adjustments.

Signature _____

Client Name _____

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. Clients are also to read and understand 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 information 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 advice 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
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 or fundamental of the stocks.
8. R K Global has two independent equity research groups : Institutional Equities Research Group and Private Client Group. The Private Client Group is responsible for the preparation of TTD Reports. A designated team from 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 distributed 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 are required to read the full 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.

Sign here : - _____

Client Name : _____

Date : _____

Client Code : _____

Place : _____

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 evaluation are based on different criteria.
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 expressed in the reports.
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.

Sign here : - _____

Client Name : _____

Date : _____

Client Code : _____

Place : _____

CLIENT DEFAULTER DECLARATION

I, _____ having PAN no. _____ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/Various Exchanges/Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc. I further declare that the above mentioned declaration/statement is true and correct.

Sign here : - _____

Client Name : _____

Client Code : _____

Date : _____

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

DECLARATION FOR NAME MISMATCH

I hereby declare that

- 1. My name mentioned in PAN Card is _____
- 2. In additional ID Proof i.e. Voter Id/Passport/Driving License it is _____
- 3. In Bank A/c No. _____ it is _____
- 4. In _____ is this _____

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks

Name of the Client : _____

Sign here : - _____

Date : _____

DECLARATION FOR MOBILE NUMBER

I, _____ having PAN No. _____ do hereby declare that my mobile no. is _____. Further, I authorize R K Global that the same may be used for giving me any information/alert/sms/call.

I/We hereby agree and give my/our consent for sending the trade confirmations via SMS and I/We have also understood that we will not receive the telephonic trade confirmations.

I further declare that above mentioned statement is true and correct.

Name of the Client : _____

Sign here : - _____

Date : _____

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 any'our 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 : _____

FORMATS

FORMAT OF BOARD RESOLUTION TO BE FURNISHED ON LETTER HEAD OF THE COMPANY

**CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/s. _____
HELD ON _____ DAY _____ OF _____ 20 ____ AT REGISTERED OFFICE OF THE COMPANY.**

“RESOLVED THAT a trading account in the name of M/s. _____ be opened with R K Global Shares & Securities Ltd., a company registered under the Companies Act, 1956 and a member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE) and MCX Stock Exchange Ltd. (MCX-SX) having its registered office at 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021, for the purpose of dealing in Capital Market segment, Futures and Options segment or any other segment that may be introduced by NSE/BSE/MCX-SX.

“RESOLVED FURTHER THAT Mr. _____, director of the Company whose specimen signatures are attested below be and is hereby authorised on behalf of the company to complete Client Registration form, execute Member client Agreement and all other documents as may be deemed expedient to open and maintain trading account with R K Global Shares & Securities Ltd. and give effect to this resolution Mr. _____ is authorised to sell, purchase, transfer, endorse and/or otherwise deal through R K Global Shares & Securities Ltd.

“RESOLVED FURTHER THAT this resolution be communicated to the R K Global Shares & Securities Ltd. and remain in force until notice in writing be given to the R K Global Shares & Securities Ltd.

Specimen Signature of the Authorized persons		
Sr. No.	Name	Specimen Signatures
1.		
2.		

For _____
Chairman/Director

OPTIONAL

DECLARATION BY SOLE PROPRIETOR (ON LETTERHEAD OF THE FIRM)

To, _____ Date : _____

R K Global Shares & Securities Ltd.
Registered Office : 61, 6th Floor Mittal Chambers
228, Nariman Point, Mumbai-400 021
Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in

Dear Sir,

I refer to the trading account opened with you in the name of _____ and declare and authorise you as under :

I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorise you to recognise the beneficiary account No. _____ with depository _____ having DP ID _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. I recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trade executed in the above trading account of the firm.

Signature (Please sign with stamp of the firm)

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly

Signature (Please sign WITHOUT stamp of the firm)

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
R K Global Shares & Securities Ltd.
Registered Office : 61, 6th Floor, Mittal Chambers
 228 Nariman Point, Mumbai-400 021
 Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in

Dear Sir,

We refer to the trading account being opened with you in the name of _____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. _____

with depository _____ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorise _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with RK Global Shares & Securities Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balance in family accounts.

Name of Partners (in block letters)	Signatures
	-

OPTIONAL

**TO BE GIVEN BY GUARDIAN (in case of account opening for minor)
 (This letter is to be signed only if the client is a minor)**

To, _____ Date _____

R K Global Shares & Securities Ltd.
Registered Office : 61, 6th Floor, Mittal Chambers
 228 Nariman Point, Mumbai-400 021
 Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in

Ref. : Trading Account No. _____

Dear Sir,

This is with reference to the above account opened in the name of Master/Ms. _____

(A/c. _____ (name of the minor) with you for the purpose of dealing in securities on the stock exchange(s).

With reference to the said aforementioned trading account, you are requested to kindly accept or receive funds/securities from and make payment of funds/transfer of securities to the account of my son/daughter, Master/Ms. _____ as per the details given for all dealings in the said trading account :

BANK DETAILS

DP DETAILS

Bank Account No.		CLIENT ID No.	
Bank Name		DP ID No.	
Branch		DP Name	

Kindly do the needful.

Thanking you,
 Yours faithfully

Name of Constituent/Guardian

Address :

Signature

DECLARATION TO BE GIVEN BY HUF ON THE LETTER HEAD OF THE HUF

To,
R K Global Shares & Securities Ltd.
61, 6th Floor, Mittal Chambers
228, Nariman Point, Mumbai - 400 021

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No. do here by authorise Karta of the family Mr. to open /operate in the name of this HUF a dealing / trading account and inter-alia to open and / or operate accounts with a Depository Participant and to issue notices and instructions relating to transfer, pledging, dematerializing or Rematerializing, orders, execute deals through you for and on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for the dealings/ orders / trades / transactions that are executed by the karta Mr. and all his orders/deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen signature of the Karta Mr. is given below :

Specimen Signature in full.....

Thanking you,

Yours faithfully,

Name of the Co-Parceners	Sex	Date of Birth	Relationship with the Karta	Signature of the Co-Parceners



Shares & Securities Ltd

R K Global Shares & Securities Ltd.

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

BANK CERTIFICATION

Name of sole/First Account Holder

Sign
across
photograph

X

Specimen Signature

Bank Name :

Branch Address :

9-Digit MICR Code :

Account Nimber

Ledger Number / Folio Number :

Account Type : Saving Current Overdraft

We certify as per our records, the particulars furnished above are correct correspond to that of the mentioned account holder(s), and the photograph attached it of the said account.

Bank Stamp :

Name & Signature of authorised Bank Official

Date :

This page has been kept blank intentionally

INSTRUCTIONS

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

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

B. Proof of Identity (POI) : - List of documents admissible as Proof of Identity :

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

C. Proof of Address (POA) : - List of documents admissible as Proof of Address :

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

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

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.

5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorised to attest the documents :

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

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

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> 1 Copy of the balance sheets for the last 2 financial years (to be submitted every year). 1 Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). 1 Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. 1 Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. 1 Copies of the Memorandum and Articles of Association and certificate of incorporation. 1 Copy of the Board Resolution for investment in securities market. 1 Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> 1 Copy of the balance sheets for the last 2 financial years (to be submitted every year). 1 Certificate of registration (for registered partnership firms only). 1 Copy of partnership deed. 1 Authorised signatories list with specimen signatures. 1 Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> 1 Copy of the balance sheets for the last 2 financial years (to be submitted every year). 1 Certificate of registration (for registered trust only). 1 Copy of Trust deed. List of trustees certified by managing trustees/CA. 1 Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> 1 PAN of HUF. 1 Deed of declaration of HUF/ List of coparceners. 1 Bank pass-book/bank statement in the name of HUF. 1 Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> 1 Proof of Existence/Constitution document. 1 Resolution of the managing body & Power of Attorney granted to transact business on its behalf. 1 Authorised signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> 1 Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. 1 Authorised signatories list with specimen signatures.
Foregoing Institutional Investors (FII)	<ul style="list-style-type: none"> 1 Copy of SEBI registration certificate. 1 Authorised signatories list with specimen signatures.
Army/Government Bodies	<ul style="list-style-type: none"> 1 Self-certification on letterhead. 1 Authorised signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> 1 Society Copy of Registration Certificate under Societies Registration Act. 1 List of Managing Committee members. 1 Committee resolution for persons authorised to act as authorised signatories with specimen signatures. 1 True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

INSTRUCTIONS/ CHECK LIST

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

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

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

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

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

4. For individuals :

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals :

- a. Form need to be initialized by all the authorised signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures.

FATCA / CRS Declaration (Non – Individuals)

1. Name of Entity: _____

2. Country of Incorporation India US Other _____

3. Nature of Business Manufacturing Financial Services Distribution/ Retail
 Consultancy IT Investments Others

4. Services Provided Forex/ Money Changer Services Gaming/Gambling/Lottery Services
 Money Lending/ Pawning None of the above

5 Country of tax residence (**other than India**)

Please fill below table only if applicable ELSE select Not Applicable

Country of Residence for Tax Purpose (other than India)	Tax Identification No. (US TIN) or equivalent (Other)

6. Whether “Specified US Person” – Yes No

[Please fill up EITHER section 7 OR section 8, depending on your entity type. Please note that if both the sections 7 or 8 are left blank, the declaration would be rejected]

7. Please fill up this section if entity is Non US Financial Institution (FFI) : a.

Registered Deemed Compliant FFI _____
 (Reporting Model 1 FFI)

b. Participating FFI

Please provide GIIN (mandatory): _____

If GIIN is not available, please select:

a. Owner Documented FFI with specified US owners b.

Deemed compliant FFI (Other than _____
 Above mentioned categories)

c. Exempt Beneficial Owner

d. Non-Participating Foreign Financial Institution

8. Please fill up this section if entity is Non Financial Entity:

a. Active NFFE

b. Passive NFFE

c. Direct Reporting NFFE

GIIN (mandatory if ‘c’ is selected) : _____

9. Please fill below If applicable:

- Our company is a Listed Company listed on recognized stock exchange
- Our company is a subsidiary of the Listed Company
- Our company is controlled by a Listed Company

Details of Listed Company (if 2nd or 3rd option selected above) :

(a) Name of Company : _____

b) Stock Exchange on which listed : _____

Declaration

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief correct and complete. In case of any change in the above given status on a future date, I/we undertake to inform I - Sec the same within 30 days.

2. I/We agree that if we are a Specified U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.) or an entity with US Persons / foreign tax residents as UBO requiring reporting under FATCA/CRS or any other laws, our account details, as required under Inter Governmental Agreement (IGA)/ Multilateral Competent Authority Agreement (MCAA) signed by Indian Government, would be reported by I-Sec to the relevant tax authority.

3. I/We hereby confirm that details as provided above can be shared by I-Sec with the concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA/CRS norms are applicable, in whose schemes/ products we may invest/transact in future through I-Sec.

Name _____ Designation: _____

Signature _____ Date _____
(Authorized Signatory)

For more details about FATCA, please refer US IRS website on - <http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>. If you are not sure about your entity's FATCA status, you are requested to contact your tax advisor.

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.)