

Sl.No.:

CLIENT REGISTRATION FORM

Client Name		Client Code	
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CLIENT ID	1	2	0	4	3	4	0	0							
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DP Internal Ref. No.		BR. NO.	
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R.L.P. SECURITIES PRIVATE LIMITED

Corporate Member : NSE, BSE, MCX

Depository Participant : CDSL

Regd. Office : 402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad – 500 082
Admin. Office : 202, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad – 500 082

Ph : 040-23352485, Fax : 040-23351238, E-mail : rlpsecurities@yahoo.com

DP Ph: 040-66755863, Fax: 040-66108495 E-Mail: dp_rlp@yahoo.com

SEBI REGN NO. INZ000166638

SEBI REGN NO. IN-DP-224-2016

Web Site: www.rlpsecurities.com

Name of the Stock broker & Trading Member & Clearing Member : **R.L.P SECURITIES PRIVATE LIMITED**

SEBI Registration Number : INZ000166638 Date : 27/02/2018

TM CODE - NSE : 09611 BSE : 3024 MCX : 31365

Depository Participant: CDSL- SEBI REGN NO: IN-DP-224-2016 dated. 08.03.2016

Regd. & Correspondence Office: 402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad – 500082

Admin. Office: 202, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad - 500082

Ph: 91-40-23352485

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E-mail: rlpsecurities@yahoo.com

DP Ph: 91-40-66755863

Fax: 91-40-66108495

E-mail: dp_rlp@yahoo.com

Web site: **www.rlpsecurities.com**

COMPLIANCE OFFICER:

CEO:

TRADING :

Name : CH V A Varaprasad,
Contact No : 91-9393136201 / 91-40-23352485
e-mail ID : varaprasad.challa@rlpsec.com

Name : Dr. R M C V Prasada Rao
Contact No : 91-40-23352485/9848039924
e-mail ID : rlp_director@yahoo.com

DP :

Name : G. Muralidhar
Contact No : 91-8897188393 / 91 -4066755863
e-mail : dp_rlp@yahoo.com

For any grievance/dispute please contact RLP SECURITIES PRIVATE LIMITED at the above address/email for:
Trading: **rlpsec_grievancecell@yahoo.com** DP : **rlpdp_grievancecell@yahoo.com**

Phone No. **91-9393136201.**

In case not satisfied with the response,
please contact the concerned exchange(s) at

NSE: ignse@nse.co.in
BSE: is@bseindia.com
MCX: grievance@mcxindia.com
CDSL: complaints@cdslindia.com

Phone no. 91-022-26598190
Phone no. 91-022-22728097
Phone no. 91-022-66494070
Phone no. 1800-22-5533 / 91-022-23058640

For Office Use:

Client Code: _____ Verified By: _____ Authorized By: _____

App. No		DPI.R.No.		Date									
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DP ID	1	2	0	4	3	4	0	0	CLIENT ID								
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R.L.P SECURITIES PRIVATE LIMITED
ACCOUNT OPENING KIT
INDEX OF DOCUMENTS

S. No.	NAME OF THE DOCUMENT	BRIEF SIGNIFICANCE OF THE DOCUMENT	PAGE NO.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	KYC (Account Opening Form)	<p>A. CKYC, KYC Form - Document Captures the Basic Information about the Constituent and the Instructions / Check List of required documents. (Individual & Non Individual)</p> <p>B. Most Important Terms and Conditions (MITC)</p> <p>C. Document Captures the additional Information about the Constituent relevant to Trading Account and an Instruction / Check List</p> <p>Document Captures the additional information about the First/Second and Third Holder(s) relevant to Demat Account.</p>	A1 - A10
2	Rights & Obligations *	<p>Document detailing the Rights & Obligation of Stock Broker/ Trading Member / Authorized Person and client for trading on exchanges (including additional Rights & Obligations in case of Internet / Wireless Technology based Trading)</p> <p>Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories</p>	Annexure A *
3	Uniform Risk Disclosure document (RDD)*	Document detailing Risks associated with dealing in the Securities Market and Commodities Market.	Annexure B *
4	Guidance Note* Do's Don'ts for the investors Investor Charter	Document detailing Do's & Don'ts for trading on exchanges and depositories for the Education of the Investors. Detailed guide to investors.	Annexure C *
5	Policies & Procedures	Document describing significant Policies / Procedures of R.L.P.	A11 - A14
6	Tariff Sheet	<p>Document detailing the Rate/Amount of Brokerage and other charges levied on the client for trading on the stock and commodity exchanges.</p> <p>Tariff Schedule of Beneficial Account Holders on CDSL</p>	A15 - A16
7	SMS Alert	Terms & Conditions-cum-Registration/Modifications Form for Receiving SMS Alerts from CDSL	A17 - A18

* A Booklet containing Annexure A to C is sent by mail / handed over to the Constituent against acknowledgement

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER (OPTIONAL)			
8	Option Form	Optional Form for Issues of DIS Bookl	B1
9	DDPI Consent to transfer of Securities & Margin pledge	'Demat Debit and Pledge Instruction' (DDPI) consent for the specific purpose of transfer of securities towards Delivery to meet Settlement obligations And Pledging / Re-Pledging of securities.	B2- B3
10	Authorization for ECN, communications in Electronic Mode	Authorization for ECN / Statement of Transaction/Holding / Margin intimation and all other communications through Electronic Mode.	B4 - B5
11	Running Account Authorization	Authorization for maintaining a Running Account Authorization for funds	B6 - B7
12	Internet & Wireless Trading Declaration	Declaration on availing Securities trading using Wireless Technology. IBT / Mobile Trading	B8 - B9
13	Declarations - Member- Constituent Relationship	Voluntary Undertaking/Declarations on the General terms governing Member-Constituent Relationship on the services provided by RLP.	B10-B15
14	FATCA/CRS Declaration	FATCA/CRS Declaration	B16

MANDATORY

PART – A

(A1 - A18)

(Annexure A - C)

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 authorized 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/OC 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 or, 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
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 authorized 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, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

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

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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/OC 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 or 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.

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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.

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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 authorized 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, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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

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

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

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

1 ×

2 ×

Name & Signature of the Authorised Signatory(ies)

Date

d

d

/

m

m

/

y

y

y

y



Place for
Intermediary Logo

Important Instructions:

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

**For office use only**

Application Type*

☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

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

☐ Name*

Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* DD - MM - YY YY Date of Commencement of Business DD - MM - YY YY

Place of Incorporation / Formation* Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN * ☐ Form 60 furnished

TIN / GST Registration Number

2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

3. ADDRESS* (Please see instruction **C** at the end)**3.1 Registered Office Address / Place of Business***

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2

Line 3 City / Town / Village*

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

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3 City / Town / Village*

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

4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

5. NUMBER OF RELATED PERSONS (Please refer instruction **E** at the end)

1 X

2 X

- 1 x

[illegible]

Signature / Thumb Impression of Authorised Person(s)

KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

[illegible]

2 x

A Clarification / Guidelines for filing Entity Details section

1 Entity Constitution Type

A - Sole Proprietorship
 B - Partnership Firm
 C - HUF
 D - Private Limited Company
 E - Public Limited Company
 F - Society
 G - Association of Persons (AOP) / Body of Individuals (BOI)

H - Trust
 I - Liquidator
 J - Limited Liability Partnership
 K - Artificial Liability Partnership
 L - Public Sector Banks
 M - Central/State Government Department or Agency
 N - Section 8 Companies (Companies Act, 2013)

O - Artificial Jurisdical Person
 P - International Organisation or Agency /Foreign
 Embassy or Consular Office etc.
 Q - Not Categorized
 R - Others
 S - Foreign Portfolio Investors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- 2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- 3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' section

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

E Clarification / Guidelines for filling 'Related Person Details' section

- 1 Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

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

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

List of ISO 3166 two digit Country Code

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

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

TRADING ACCOUNT RELATED DETAILS

KYC – B

For Individuals & Non-individuals

UCC CODE	
-----------------	--

A. BANK ACCOUNT(S) DETAILS

(through which transaction will generally be routed. Designated bank for payouts, dividends, redemption credits & for ECS)

Bank Name																					
Branch Address																					
Account No																					
Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> NRI	<input type="checkbox"/> NRE	<input type="checkbox"/> NRO	Others (Please Specify) _____															
MICR Code											IFSC Code:										

Note : Provide a copy of cancelled cheque leaf / pass book / Bank Statement specifying name of the client, MICR code or IFSC Code of the Bank.

DEPOSITORY ACCOUNT(S) DETAILS

D P Name	R L P SECURITIES PRIVATE LIMITED	<input type="checkbox"/> Depository Name <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL																		
Beneficiary Name																				
DP ID & BO ID / CLIENT ID	1	2	0	4	3	4	0	0												

Note : Provide a copy of either Demat master or a recent holding statement issued by DP bearing name of the client.

C. TRADING PREFERENCES

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

Exchanges	NSE, BSE				MCX
All Segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives	
	1 X 				
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____					

D. PAST ACTIONS

2 X

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/Commodity 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 AUTHORIZED PERSONS/OTHER STOCK BROKERS/AND COMMODITY BROKERS

If client is dealing through the Authorized Person, Provide the following details

Authorized Person Name				
Registered office				
Address & Contact				
Details	Phone :	Fax No:	Web Site:	
SEBI/Authorized Person Reg. No.	NSE:	BSE:	MCX:	
Name	Signature of the Authorized Person			
Whether dealing with any other stock broker/ Authorized Person				
(incase dealing with multiple stock brokers/Authorized Person provide details of all	Name of the Stock / Authorized Person			
	Client code:		Exchange:	
Details of Disputes/dues pending from/to such stock broker/ Authorized Person				

F. ADDITIONAL DETAILS

(I) Whether you wish to receive (a) ☐ Physical Contract Note (b) ☐ Electronic Contract Note (ECN)

If ECN specify your Email ID _____

(II) Whether you wish to receive RDD, Rights & Obligations and Do's & Don'ts for the Investors and any other exchange Regulations communication from Member in Electronic Form to your Registered email ID. ☐ Yes ☐ No

Signature of the Applicant 1 X 2 X

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

BOID

1	2	0	4	3	4	0	0								
----------	----------	----------	----------	----------	----------	----------	----------	--	--	--	--	--	--	--	--

	Documents Verified with Originals	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 'Policies and Procedures', tariff sheet and all the Voluntary documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD and Guidance Note (Do's & Don'ts). We have given/sent him a copy of all the KYC documents. We undertake that any change in the 'Policies and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website www.rlpsecurities.com for the information of the clients.

For R.L.P Securities Private Limited**Seal/Stamp of the R.L.P Securities Private Limited****Authorised Signatory****Date :** _____**INSTRUCTIONS/ CHECK LIST****1. Additional documents in case of trading in derivatives segments - illustrative list:**

<input type="checkbox"/> Copy of ITR Acknowledgement	<input type="checkbox"/> Copy of Annual Accounts
<input type="checkbox"/> In case of salary income - Salary Slip, Copy of Form 16	<input type="checkbox"/> Net worth certificate
<input type="checkbox"/> Copy of demat account holding statement.	<input type="checkbox"/> Bank account statement for last 6 months
<input type="checkbox"/> Any other relevant documents substantiating ownership of assets.	<input type="checkbox"/> 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 authorized signatories.
 - ☐ b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**RLP Securities Private Limited****DP : CDSL , DPID : 12043400**

202, Nirmal Towers, Dwarakapuri Colony, Hyderabad – 500082.

Phone No.s : 040-66755863 / 30603681 Fax : 66108495 Email : dp_rlp@yahoo.com

Annexure 2.2**Additional KYC Form for Opening a Demat Account for Non-Individuals**

(To be filled by the Depository Participant)

Application No.										Date								
DP Internal Reference No.																		
DPID	1	2	0	4	3	4	0	0	Client ID									

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a Demat Account in my/our Name(s) as per following details:

Sole/First Holder's Name		PAN															
		UID															
Second Holder's Name		PAN															
		UID															
Third Holder's Name		PAN															
		UID															

Name*	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Type of Account (Please tick whichever is applicable)

Status		Sub-Status	
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____		To be filled by DP	
SEBI Registration No. (if applicable)		SEBI Registration Date	
RBI Registration No. (if applicable)		RBI Approval Date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____		

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Automatic Credit <input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any further instruction from my/our end. (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction – cum Holding Statement at the email ID	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

**RLP Securities Private Limited****DP : CDSL , DPID : 12043400**

202, Nirmal Towers, Dwarakapuri Colony, Hyderabad – 500082.

Phone No.s : 040-66755863 / 30603681 Fax : 66108495 Email : dp_rlp@yahoo.com

I/We wish to receive dividend / interest directly to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Bank Code (9 digit MICR code)									
IFS Code (11 Character)									
Account Number									
Account Type									
Bank Name									
Branch Name									
Branch Address									
City		State		Country		Pin code			

- i) Photocopy of the cancelled cheque having the name of the account holder where the Cheque book is issued, (or)
 ii) Photocopy of the Bank Statement having name and address of the BO
 iii) Photocopy of the Passbook having name and address of the Bo,(or)
 iv) Letter from the Bank,

➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

Other Details Gross Annual Income Details	Income Range per annum:	
	<input type="checkbox"/> Up to Rs. 1,00,000 <input type="checkbox"/> Rs. 1,00,000 to 5,00,000 <input type="checkbox"/> Rs. 5,00,000 to Rs.10,00,000 <input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000 <input type="checkbox"/> Rs. 25,00,000 to Rs. 1,00,00,000 <input type="checkbox"/> More than Rs. 1,00,00,000	
	Net worth as on (Date)	Rs. _____
[Net worth should not be older than 1 year]		
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (specify) _____	
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
Any other information		

SMS Alert Facility Refer to Terms & Conditions given as Annexure – 2.4	Mobile No. +91 _____									
	[Mandatory, if you are giving Power of Attorney(POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option)									
Transactions Using Secured Texting Facility (TRUST), Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed for the same ____ Yes ____ No									
	I/We wish to register the following clearing member Ids under my/our below mentioned BO Id registered for TRUST									
	<table border="1"> <thead> <tr> <th>Stock Exchange Name / ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)							
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online									

1 ×

2 ×

**RLP Securities Private Limited****DP : CDSL , DPID : 12043400**

202, Nirmal Towers, Dwarakapuri Colony, Hyderabad – 500082.

Phone No.s : 040-66755863 / 30603681 Fax : 66108495 Email : dp_rlp@yahoo.com

I / We have received and read the document of 'Rights and Obligations of BO-Dp' including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me / us above are true and to the best of my / our knowledge as on the date of making this application. I / We agree and undertake to intimate the **DP** any change(s) in the details / Particulars mentioned by me / us in this form. I / We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Designation			
Signature	1 X	2 X	

(In case of more authorized signatories, please add annexure)

(Signatures should be preferably in black ink).

===== (Please Tear Here) =====

Acknowledgement Receipt

Application No. : _____

Date : _____

We hereby acknowledge the receipt of the Account Opening Application Form:

Name of the Sole / First Holder	
Name of the Second Holder	
Name of the Third Holder	

RLP Securities Pvt. Ltd
Depository Participant – CDSL

Authorized Signatory



R.L.P. Securities Pvt. Ltd.

Corporate Member – NSE & BSE. Depository Participant – CDSL.
SEBI Regn. No: INZ000166638. DP : IN-DP-224-2016.



Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP).

[For-non-individual]

Name of holder _____ PAN of the holder _____

We here by declare and state that None of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors are Non PEP or Non RPEP

Sr.No	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

1 ×

2 ×

Name & Signature of the Authorised Signatories

Date : ____/____/____

**Mandatory document dealing with Policies and Procedures pursuant to SEBI's Circular
MIRSD/SE/Cir-19/2009 dated 03rd December 2009
Policies and Procedures forms integral part of the Mandatory Documents**

This document outlines various policies and procedures framed and governed by R.L.P Securities Private Limited (RLP) with respect to its dealing with its clients as a stock broker on National Stock Exchange of India Ltd.(NSE), Bombay Stock Exchange Ltd (BSE) And MCX Ltd.,(collectively referred to as "the Exchanges"). The policies and procedures as stated herein below are subject to change from time to time depending upon the regulatory changes, its risk management framework, other market conditions etc. Prior to carrying out change in policies and procedures, RLP shall give sufficient advance notice subject to minimum of fifteen days to its client by e mail or by post or by displaying the same on our website www.rlpsecurities.com intimating changes in the Policies and Procedures. These Policies and Procedures are in addition to the clauses mentioned in the Rights and Obligations, RDD, Do's and Don'ts etc .. and all other regulations bound by the client as prescribed by SEBI / Exchanges / Depositories and other Regulators from time to time.

1.) Refusal of order for Penny Stocks:

RLP shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from the client in respect of penny stocks, High Pledged promoter stocks, illiquid stocks, stocks having low liquidity, s B,S,Z, ASM/GSM/ESM UNSOLICITED SMS STOCKS etc. Illiquid options, far month options, writing of options, any other contract /stocks which are extremely volatile or subject to Market manipulation. The term stocks shall include Shares and Commodities. Such stocks even if allowed for trading, the pay in and payout may be with held and are subject to the rules regulations framed by RLP, exchanges, SEBI or any other regulators from time to time.

RLP may permit restrictive acceptance of orders in such stocks / contracts in controlled environments like orders received from clients being forwarded by branches / authorized persons to HO instead of allowing them at IBT / Branch / Authorized Persons level. RLP may cancel orders in such stocks received from clients before execution or after partial execution without assigning any reasons thereof. RLP may take appropriate declarations from the clients before accepting such orders. Shares under ASM/GSM/ESM may be subject to the Margins and conditions stipulated by the Exchanges and regulators from time to time. RLP shall not be responsible for any delay in execution / non execution of such orders, any opportunity / financial loss to the client and are bound by all other regulations as specified by the Exchanges and Regulators from time to time.

2.) Setting up Client's Exposure Limits:

RLP may have its own policy to allow differential purchase limits and sell limits varying from client to client, depending upon credit worthiness, integrity and past trading record etc. of each client and volatility in the market which may vary from time to time subject to the availability and maintenance of upfront and peak margin as prescribed by the Exchanges from time to time.

RLP at its exclusive discretion, may provide an exposure limit for intraday and delivery to a client which would be a multiple of the clear ledger balance in the account of the client along with collateral values after appropriate haircut subject to availability of margin and fulfillment of settlement obligations, as specified by the Exchanges from time to time. The value of multiple and haircut shall be decided as per the Market volatility, quality of collaterals, credit worthiness, integrity and past trading record of each client which may vary from client to client and from time to time. RLP may provide a sell limit to the client equivalent to the value of securities held by the client in his/her POA/DDPI enabled Demat account with our RLP DP, CUSPA Demat account and the collaterals held with us as margin pledge through our CMPA account held on behalf of clients after making appropriate adjustments for the unsettled delivery positions of the Client.

Derivatives / Futures and Options, would mean Derivatives / Futures and Options for Equity, Commodity, Currencies or any other Derivative segments that are being offered by the Exchanges of which we are members.

RLP may provide Exposure for Trading in Futures And Options writing in Derivatives segment based on the upfront availability of Initial Margin (Span + MTM) and additional margin as may be levied by RLP depending on the volatility and the risk involved, in the form of clear ledger balance. Considering collateral's is at the absolute discretion of RLP and are subject to the regulations of the Exchanges, which may vary from time to time.

The buying of Options in Derivatives segment may be allowed only on the upfront availability of the total premium value in the client ledger. As per the Exchange regulations no fresh positions will be allowed in F&O stocks under Ban period.

For all such contracts in F&O, which end up with physical delivery at the end of expiry date, RLP may not allow fresh exposure before one week of expiry of such contract or tender period or any such period at the discretion of RLP, unless the client maintains 100% deliverable value of the contract money as clear Credit in his account in case of Buy and total deliverable shares or Commodities, in case of sell. RLP reserves the right to allow or not to allow positions in illiquid or any derivatives positions and RLP shall not be responsible for any delay in execution or non execution of such orders, any opportunity/financial loss to the client. Allowing deliveries in commodities is at the absolute discretion of RLP.

In case the Debit Balance in Client Account Exceeds Five Trading Days or any such period as may be decided by the Exchanges from time to time, No fresh exposure will be allowed till such time the Account comes to Credit Balance.

3.) APPLICABLE BROKERAGE RATES:

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and as agreed upon subsequently through a written agreement between the client and RLP. The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye laws or statutory regulations. The slab rates of brokerage fixed by us are function of the quality and cost of services provided to the client and the volume and revenue expected from a client.

It shall be reviewed by us from time to time and may be increased with prospective effect subject to notice of 7 days sent to the designated email ID/post to the client.

The Brokerage shall however be exclusive of STT, GST, DP Charges, Stamp Duty, Delayed payment charges, penalties levied by Exchanges, courier charges, bank charges towards cheque bouncing and SEBI / Exchange / CM turnover or any other charges as may be levied by regulators and statutory bodies from time to time.

4.) Imposition of Penalty / Delayed payment charges by either party, specifying the rate and the period (This must not result in funding by broker in contravention of the applicable laws):

As per the Rules, Regulations and Bye Laws of the Exchanges, the Member has to maintain margins and pay in of funds and securities at the Exchange as per the settlement cycle. Further Member broker is also required to maintain adequate upfront margins with the exchange to avail exposure for trading. The exchanges have also defined the ratios in which the cash and collaterals are to be maintained by the member broker. In order to manage its operations, RLP requires full cooperation of the clients in meeting their respective obligation towards pay in and margins. RLP is therefore authorized by the client to charge delayed payment charges not exceeding 2% per month, on account of delays / failure by the client in meeting the pay in/Margin obligations on the scheduled date in both Cash & F&O Segment. While levying delayed payment charges in the running account of a client, RLP may not consider any credit balance in the other family or group accounts of the client and the collaterals.

Delayed payment charges are applied only to act as a deterrent measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a continued basis citing levy of delayed payment charges.

RLP may provide exposure against the upfront margins received in the form of cash / collateral from the client and the client also has the right to withdraw Cash and collaterals at his/ her discretion, RLP shall not pay interest or other benefit to the client for maintaining cash balances or depositing collateral margins.

Penalties levied by the Exchanges:

Further Exchanges levy various penalties on the member brokers on auction resulting from short deliveries, non adherence to client wise exposure limits, client wise Margin shortfalls in Cash, Commodity and Derivative Segments and for other reasons which may be defined by the Exchanges from time to time. All such Penalties on account of Client, except those penalties which are specifically bared by the exchanges or regulators shall be transferred to the client account. RLP is therefore authorized by the client to pass on any such penalties imposed by the Exchange/SEBI and or any regulatory authority to the client, which arises on account of the client including auction charges and non-maintenance of margins.

5.) The right to sell client's securities or close client's positions without giving notice to the client, on account of non payment of client's dues (This shall be limited to the extent of settlement/margin obligations):

RLP is under obligation to fulfill all the obligations of its clients on running market conditions to the Exchanges and it should fulfill all the Margin obligations on live basis, to protect itself from default and hence, the Clients are under obligation to monitor their positions and fulfill all the required funds and Margin obligations which includes ledger debit balances (if any), margins, upfront margins, peak margin, MTM losses and additional margins as levied by the Exchanges and member on live basis from time to time, in case the clients are not able to fulfill their obligations, they will be in default and RLP reserves the right to close out the client's open positions without giving notice to the client where there is a delay / failure of the client to meet the pay in obligations and / or there is a failure of the client to bring additional margins to cover the increase in risk under dynamic market conditions. In such a case, if still there exists a shortfall, RLP reserves the right to sell such client securities / commodities both unpaid securities as well as ledger collaterals deposited towards margins, shares held in POA/DDPI supported BO account to the extent of shortfall or obligation to be received.

In case of unpaid equity pay in obligations on settlement basis where payment is not received within the stipulated period, such shares may be liquidated by RLP at any time on or before 5 trading days from the day of Pay In obligation, to recover the unpaid obligation without giving any notice. Where the sale proceeds of unpaid securities are inadequate to cover the pay in obligations and where the unpaid securities appear to be comparatively illiquid, inactive/suspended shares, lower circuit, regulatory/enforcement/court order and cannot be sold at reasonable rates to the extent required, RLP may Confiscate and sell the collaterals pledged by the client and or the securities lying in POA/DDPI enabled demat account and further losses if any may be recovered from the client. RLP shall not be responsible for any financial loss to the client in this regard. Even in case of partial payment, RLP may retain the Full value of such shares under pledge in R.L.P. Securities Private Limited-CUSPA Account (Client unpaid securities Pledge Account) for a maximum period of 5 trading days from the payout date.

Where the clients are holding specific POA/DDPI enabled DP account with RLP, RLP at its sole discretion, may transfer the partly paid or unpaid shares from Pool Account or CUSA Demat Account directly to the POA/DDPI enabled Demat Account of the client.

While executing such a liquidation Policy RLP reserves the right to liquidate the Collaterals first or the shares held in the Demat Account of the client supported by POA/ DDPI at the discretion of RLP and may adopt LIFO method or the most liquid shares for liquidation of securities but it may not be binding on it to follow this method in all cases.

Margin shortfalls in F&O:

Positions of the client may be closed out to the extent of margin shortfall on T or T+1 day basis, where client is not in a position to fulfill Margin obligations including that of Live MTM and additional Margins as may be levied by the Exchanges and Member from time to time. While computing margin shortfall, RLP reserves the right to accept the unapproved securities are not.

RLP reserves the right to consider or not to consider the stock pledged with RLP for margin purpose.

The Client' dues if any would be recovered, as per the policy mentioned above.

Intra day Positions:

RPL shall have right to close out any intra-day positions taken by the client after a defined "Cut off" time (generally within 15 minutes of the close of the trading hours) Or when the client MTM exceeds 80% of the credit balance available or As decided by RPL depending on the Market Volatility and the client relation. While selling the securities / closing the client's positions, RPL may take into account the sales made by the client, positions closed by the client or payments received from the client till a cut off time. While selling the securities / closing the clients positions, RPL may not take into consideration cheques /drafts/ pay orders deposited by the client with RPL, until clear proceeds of such instruments are received by RPL in its bank account.

Even though, Member will be intimating the Margin Short Fall, Open Positions and other obligations, It will be the prime responsibility of the client to monitor their positions and fulfill the Margin Obligations on live basis to avoid default.

The client is said to be in default, when the client is not able to meet the Margin obligations as levied by the exchanges and such additional margins as levied by us from time to time, including that of MTM on dynamic market conditions at any point of time. Even though, we would be informing the client the margin obligation through email, SMS etc.. it is binding on the client to monitor his transactions on live market conditions and make good the Margins, failing which RPL may square off the positions and sell the holdings in the POA/DDPI enabled demat account or confiscate and sell off the pledge collaterals to the extent of payment obligation without giving any notice to the Clients.

RPL reserves the right of priority to confiscate & sell the collaterals or sell the shares held in POA/DDPI to the extent of settlement /margin obligations.

RPL reserves the right to accept or not to accept the collaterals from the Clients for the purpose of Margins, which include securities in demat form actively traded on the National Exchanges not declared as Illiquid securities by any of such Exchange(s) with appropriate haircut as decided by the Exchanges from time to time and accepted by way of Margin Pledge.

RPL shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. RPL shall therefore not be under any obligation to compensate /or to provide reasons for any delay or omission on its part to sell client's securities or close open positions of the client. The ultimate responsibility risk and liability of the trades are binding on the client. All the positions are subject to maintenance of margins including that of MTM on live basis and any other margins as prescribed by exchanges from time to time.

6.) Shortages In obligations arising out of Internal netting of trades:

RPL shall have the right to adopt a policy of its choice for internal auctions arising out of internal netting of trades. The cut off price, would be charged as per the WAP fixed by the Exchange to the defaulter seller and compensate the impacted purchaser as per the policy of RPL and the price fixed by the Exchange.Or as decided by the time to Exchanges from time to time.

7.) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:

Where the Debit Balance of a Client Exceeds five days, Where the client is not maintaining adequate margins as per the regulations of RPL and the Exchanges. Where the client is under default or irregular in meeting obligations, the trading pattern of the client is not commensurate with the Income levels specified, the client is not submitting the required KYC or other documents, is under banned entities or suspended by the statutory bodies or had not provided required information or indulging in market manipulation or concentrated trades or any such acts which are not in line with good trade practices. The client is said to be in default, if client fails in meeting margin obligation on continuous basis and such positions may be closed out.

In Cash segment:

All cash trades are subject to maintenance of upfront Margin. Where the client has not been able to meet his pay in obligation in cash by the schedule date of pay in, irrespective of the value of collaterals available with RPL. Clear proceeds of the cheque deposited by the client to meet the pay in obligations has not yet been received by RPL. Client is trading in Illiquid securities and volumes in his account exceed internal cut off limit fixed by RPL. RPL exposure at "house level" in a specific scrip / contract exceeds the internal limits fixed by it, where client is not able to meet the margin obligations prescribed by the Exchanges including that of upfront and MTM.

In Derivatives:

All derivative trades are subject to maintenance of upfront Margin. Where the client has not maintained upfront Margin, span Margin, MTM, Volatility Margin and any other Additional Margins as levied by the Exchanges and RPL from time to time. Where the open positions in a contract exceeded or are close to market wide cut off limits. Where the client's position is close to client wise permissible "open" positions. Where the contracts are illiquid. Where a particular contract is under BAN period. For all such contracts in F&O, which end up with physical delivery at the end of expiry date, RPL reserves the right to close and may not allow any fresh exposure before one week of expiry of such contract or tender period or any such period at the discretion of RPL, unless the client maintains 100% deliverable value of the contract money as clear credit in his account in case of buy and total deliverable shares or commodities, in case of sell. RPL reserves the right to allow or not to allow positions in illiquid or any derivatives positions and RPL shall not be responsible for any delay in execution or non execution of such orders, any opportunity / financial loss to the client.

Intraday:

All Intra day trades are subject to maintenance of upfront Margin. Client may not be able to place intra day orders after a cut off time and reaching MTM as fixed by RPL, where the trading pattern of the client appears to be manipulative, trades in single or illiquid stock/Contracts. Places orders away from the market prices without any rationale.

Where client places orders in small quantity to influence the stock price or any other reason where RLP believes that the client is not adopting good practices.

Where the trades are not in line with Income range/Net worth.

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

In case the client wants the Account to be Temporarily suspended, the Trading Account shall be kept inactive, and in case, the client Requests for closing the Account, the same would be closed. In either case it's subject to fulfillment of all the Trading and Demat related obligations, as per the regulations prescribed by SEBI/ Exchanges/Depositories.

RLP may carry a periodic review of the client accounts and may suspend the accounts from trading under the following circumstances:

- Where the client is inactive for more than one year.
- Where the client account is under investigation by any regulatory body.
- Where the client has not cleared the naked or uncovered debits which are more than 7 days.
- Where the client is found to be a defaulter with any other member or Regulator.
- Non-delivery of statement of accounts sent on periodic basis.
- Physical contract notes are received back undelivered due to reasons like "No such person", "addressee left", refusal to accept, or other reasons which create suspicion.
- DCN failed (Bounced email) on more than 3 instances until client submits and registers new email ID.
- Non-up dating of KYC details like, Aadhar not seeded with PAN, Address, email id, mobile number, land line details or if it is found to be belonging to the third person.
- Non updating of Annual Income on Annual basis.
- On notices received from Regulatory, Statutory, government or local authorities and Income Tax, GST etc.
- Where a client is reported to or known to have expired.
- In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
- Any other reason at the discretion of RLP.
- On written request from the client for suspension.

Deregistering a Client:

- RLP may deregister a client under the following circumstances:
- Any action taken by SEBI/NSE/BSE/NCDEX/MCX/Any other regulatory body, Name appearing in the list of debarred/ banned entities published by SEBI.
- On basis of information found in sites of CIBIL, Watch out Investors, or client having suspicious / criminal back ground, link with suspicious organization etc.
- Where RLP finds the client to be litigant / defaulter with other member or any regulatory / Indulging in Market manipulation etc...
- Where the client is inactive for more than three years and doesn't have any funds/holdings in RLP DP.
- RLP shall have the right to close out the existing positions, sell the collaterals and stock in Demat Account enabled with POA/DDPI, to recover its dues, if any, before de registering the client.
- RLP shall also have the right to deregister a client after sending 30 days notice without assigning any reason thereof.
- In the event of member surrendering / Temporarily Deactivating from the membership in any of the EXCHANGES / SEGMENTS OR taking the decision of closing down or merging the business, the client might be de registered with a notice of one month.

I / We have clearly understood and agree to abide by afore said policies and procedures.

I / We also understand and agree that these policies and procedures can be changed from time to time and are displayed on RLP website: www.rlpsecurities.com along with the other policies governed by RLP and Client.

I / We, understand that RLP shall have the right to implement all the above policies but shall not be under any obligations to undertake this exercise compulsorily. The ultimate responsibility, risk and liability of the trades are binding on the Client.

Client Name _____

UCC _____

Date _____



R. L. P. Securities Private Limited

Regd. Office : #402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad - 500082
 Admin. Office : #402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad - 500082
Phone: 040-66755863, **Fax:** 040-66108495 **Email :** dp_rlp@yahoo.com
SEBI REGN . NO. IN-DP-CDSL-224-2016 web: www.rlpsecurities.com
Investor Grievance Email : rlpdp_grievancecell@yahoo.com

Services	Scheme A Small Investor (Rs.)	Scheme B Life Time (Rs.)	Scheme C Active Investor (Rs.)	Scheme D General Investor (Rs.)	Scheme E Corporate (Rs.)	Scheme BSDA - A HV Less than Rs. 4,00,000	Scheme BSDA - B HV between Rs.4,00,001 and Rs. 10,00,000
1) Account Opening Charges							
Account Opening	Free	Free	Free	Free	Free	Free	Free
Annual Maintenance	300	2000 (Non Refundable)	500	200	1000	Nil	100
Upfront Payment	500	2500	900	300	2000	250	250
2) Transaction Charges							
Purchase (On / Off Market) Per ISIN	NIL	NIL	NIL	NIL	NIL	NIL	NIL
Sale (On / Off Market) Per ISIN	8+CDSL charges	9+CDSL charges	4+CDSL charges	11+CDSL charges	12+CDSL charges	11+CDSL charges	11+CDSL charges
Off Market / Inter Depository Transaction	0.02% per Debit Transaction on the value of transaction subject to Minimum of Rs.50/-						
Late Transaction Charges	10	10	10	10	10	10	10
Instruction Failure	10	10	10	10	10	10	10
Custody Charges	Free	Free	Free	Free	Free	Free	Free
3) Dematerialization *							
Dematerialization per certificate	2	2	2	2	2	2	2
Courier Charges per Demat Request	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher
Demat Rejection	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher	40/- or Courier charges at actual whichever is higher
4) Rematerialisation *	Rs.25/- per certificate or 0.05% of the value whichever is higher plus CDSL charges at actuals						
5) Pledge							
Creation / Closure / Confirmation and Client securities under Margin Funding (other than pledge / re pledge mechanism)	0.02% of the transaction value subject to minimum of Rs.25/- plus CDSL charges at actuals						
Creation / Closure & Confirmation (under pledge / re pledge mechanism)	Rs. 25/- per ISIN plus CDSL Charges.						
6) Pledge Invocation	0.02% of the transaction value subject to minimum of Rs.25/- plus CDSL charges at actuals						

* Every 100 Shares or part thereof will be treated as 1 certificate for calculation of De-mat / Re-mat charges.

Please note that :

- Any charges levied by CDSL from time to time are extra.
- Statement of Transactions will be sent to the account holders on a monthly basis. The Adhoc / Non periodic statement or Detailed Bill request will be charged @Rs.5/- per page.
- Rs.100/- will be charged for the dishonor of every cheque.
- Interest on outstanding amount will be charged @13% + GST per annum.
- GST will be applicable at prescribed rate on DP Markup.
- AMC once charged will not be refunded.
- Postal / Courier Charges are extra
- All the above rates are subject to revision by CDSL / R. L. P. Securities Pvt. Ltd. from time to time.
- I / We are not interested in BSDA scheme and I / We have opted for Scheme _____.

The charges and Terms & Conditions mentioned above are accepted by me / us.

1 ☒ X

2 ☒ X

T _____

TARIFF SHEET - TRADING
Applicable Brokerage & Other Charges

	Delivery %	Delivery Minimum. Ps	Square Up %	Square Up Minimum Ps	
Cash Market					
Derivative Market Futures					
Derivative Market Options					
Currency Derivatives					
MCX					

Brokerage on Options will be calculated as per the below mentioned formula:	
<ul style="list-style-type: none"> 2.5% of the premium value or Rs.100/- whichever is higher Or (Strike price + premium) * Brokerage (%) agreed upon * Quantity 	} whichever is Low will be charged as Brokerage

Brokerage charged will be calculated as:


- Rate of Share / Stock Future / Index Future * Brokerage% agreed upon * Quantity
- In case of Minimum Brokerage, Minimum Brokerage fixed in Paisa * Quantity

Other Charges

- Exchange Transaction charges / Delivery transaction charges, SEBI Turnover Fees, Handling Charges, Stamp duty, GST, Securities Transaction Tax, Clearing Member charges and any other statutory charges / levies as applicable from time to time will be levied.
- Handling Charges, over and above brokerage would be levied, where the brokerage generated per contract per Exchange segment is less than Rs. 20 to make sum of brokerage plus handling charges equal to Rs. 20
- The above brokerages might change from time to time as agreed upon with the Client.
- CTT charges as applicable from time to time will be levied.

Declaration of Client

- I/we have understood the above brokerage slabs and agree to pay the above brokerage rates, handling charges and other charges to be levied for the transactions done in my/our account
- I we understand that my trading account will be debited with the Demat related service charges to my/our trading account, in case I/we have not paid the same upfront.
- I/we have understood and agree to pay all transaction charges for movement of securities from Pool account of R.L.P. Securities Pvt. Ltd. for the purpose of Inter settlement / Inter Segment / Exchange Obligation and pledge / Repledge charges
- I/we understood and agree that the DP Transactions charges are over and above the brokerage charges debited to my/our Trading account.

1  17 _____ 2 X

R L P SECURITIES PVT LTD

Regd. Office : 402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad – 500 082

Admn. Office : 202, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad – 500 082

Ph : 040-66755863, 30603681 Fax : 040- 66108495 E-Mail: dp_rlp@yahoo.com

SEBI REGN NO. : IN-DP-CDSL-344-2006 Web Site : www.rlpsecurities.com

11 Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**Definitions:**

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

	First / Sole Holder	Second Holder	Third Holder
Signature	1 X 18 F	2 X S	T

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable).

BOID

1	2	0	4	3	4	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name: _____

Second Holder's Name: _____

Third Holder's Name: _____

Mobile Number on which
messages are to be sent

+91																	
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--




(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

I/ We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First / Sole Holder	Second Holder	Third Holder
Signature			

NON-MANDATORY

PART – B

(B1 - B16)

RLP Securities Private Limited**DP : CDSL , DPID : 12043400**

202, Nirmal Towers, Dwarakapuri Colony, Hyderabad – 500082.

Phone No.s : 040-66755863 / 30603681 Fax : 66108495 Email : dp_rlp@yahoo.com

Annexure : 2.5**Option Form for Issue of Demat Instruction Slip (DIS) Booklet**

Date							
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DP ID	1	2	0	4	3	4	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To

M/s. RLP Securities Pvt. Ltd.,
202, Nirmal Towers, Dwarakapuri Colony,
Punjagutta, Hyderabad – 500082.
TELANGANA.




Dear Sir / Madam,

I / We state that : [Select one of the options given below]

☐ **Option 1 :**

I/We require you to issue Delivery Instruction Slip(DIS) booklet to me / us immediately on opening my/our CDSL Account though I/W have issued a Power of Attorney (POA / DDPI) executed PMS agreement in favour of /with M/s. RLP Securities Pvt. Ltd. , Clearing Member, for Executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.




Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR☐ **Option 2:**

I/We do Not require the Delivery Instruction Slip(DIS) for the time being, since I / We have issued a POA / DDPI Agreement in favour of M/s. RLP securities Pvt.Ltd. Clearing Member, for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected though such Clearing member. However, the delivery Instruction Ship (DIS) booklet should be issued to me / us Immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

===== (Please Tear Here) =====

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON-ISSUE OF DIS BOOKLET from :

DP ID	1	2	0	4	3	4	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Depository Participant Seal and Signature

Demat Debit And Pledge Instruction

(For transfer of Securities towards Stock Exchange related Deliveries / Settlement obligations And Pledging / Re-pledging of Securities to meet Exchange related Margin Obligations.)

Date: _____

BOID No	1	2	0	4	3	4	0	0								UCC:
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Due to exigency and paucity of time and for the convenience of settlement/meeting obligation in time, I/We, am/are desirous of executing this **Demat Debit And Pledge Instruction (DDPI)**:

I/We do hereby give our consent to:

S. No.	Purpose:									
1.	Transfer of securities held in my/Our beneficial owner Accounts towards Stock Exchange related deliveries / settlement obligations arising out of my/our trades executed on the Stock Exchange(s) through R. L. P. SECURITIES PRIVATE LIMITED. Signature of Client * <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 33%; text-align: center;">First Holder</td> <td style="width: 33%; text-align: center;">Second Holder</td> <td style="width: 33%; text-align: center;">Third Holder</td> </tr> <tr> <td style="text-align: center;">1 25</td> <td style="text-align: center;">2 </td> <td style="text-align: center;"></td> </tr> <tr> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td></td> </tr> </table>	First Holder	Second Holder	Third Holder	1 25	2		X	X	
First Holder	Second Holder	Third Holder								
1 25	2									
X	X									
2.	Pledging / Re-Pledging of securities in favour of R. L. P. SECURITIES PRIVATE LIMITED for the purpose of meeting margin requirements of me/us in connection with the trades executed by me/us on the Stock Exchange(s). Signature of Client * <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 33%; text-align: center;">First Holder</td> <td style="width: 33%; text-align: center;">Second Holder</td> <td style="width: 33%; text-align: center;">Third Holder</td> </tr> <tr> <td style="text-align: center;">1 25</td> <td style="text-align: center;">2 </td> <td style="text-align: center;"></td> </tr> <tr> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td></td> </tr> </table>	First Holder	Second Holder	Third Holder	1 25	2		X	X	
First Holder	Second Holder	Third Holder								
1 25	2									
X	X									
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms Signature of Client * <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 33%; text-align: center;">First Holder</td> <td style="width: 33%; text-align: center;">Second Holder</td> <td style="width: 33%; text-align: center;">Third Holder</td> </tr> <tr> <td style="text-align: center;">1 25</td> <td style="text-align: center;">2 </td> <td style="text-align: center;"></td> </tr> <tr> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td></td> </tr> </table>	First Holder	Second Holder	Third Holder	1 25	2		X	X	
First Holder	Second Holder	Third Holder								
1 25	2									
X	X									
4.	Tendering shares in open offers through Stock Exchange platforms Signature of Client * <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width: 33%; text-align: center;">First Holder</td> <td style="width: 33%; text-align: center;">Second Holder</td> <td style="width: 33%; text-align: center;">Third Holder</td> </tr> <tr> <td style="text-align: center;">1 25</td> <td style="text-align: center;">2 </td> <td style="text-align: center;"></td> </tr> <tr> <td style="text-align: center;">X</td> <td style="text-align: center;">X</td> <td></td> </tr> </table>	First Holder	Second Holder	Third Holder	1 25	2		X	X	
First Holder	Second Holder	Third Holder								
1 25	2									
X	X									

* The same may be e Signed or signed physically

** The word Stock Exchange would mean The National Stock Exchange of India Limited, BSE Limited, Multi Commodity Exchange of India Limited and any other Exchange(s) the Trading Member may take the membership from the recognized stock exchange(s), provided that I/we had executed a Trading Agreement with the Trading Member, R. L. P. SECURITIES PRIVATE LIMITED for such Exchange(s).

The Demat A/c Number(s) of Trading Member where the securities can be moved for settlement obligations:

S. No	A/C NAME	PURPOSE	Client ID / CM BP ID	DP ID
1	R. L. P. SECURITIES PVT. LTD	NSE POOL – CDSL	1204340000002774	12043400
2	R. L. P. SECURITIES PVT. LTD	BSE POOL – CDSL	1204340000002565	12043400
3	R. L. P. SECURITIES PVT. LTD	NSE – EPI	1100001100016394	11000011
4	R. L. P. SECURITIES PVT. LTD	NSE POOL – NSDL	20374028	IN301022
5	R. L. P. SECURITIES PVT. LTD	BSE POOL - NSDL	21060909	IN301022

The Demat A/c Number(s) of Trading Member where the securities can be pledged as collaterals:

1	R. L. P. SECURITIES PVT. LTD	TM/CM CLIENT SECURITIES MARGIN PLEDGE A/c	1204340000180223	12043400
1	R. L. P. SECURITIES PVT. LTD	TM/CM CLIENT UNPAID SECURITIES PLEDGEE ACCOUNT-CUSPA	1204340000193551	12043400

1 25 F.	2 S.	T.
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*** (Any other such Demat Account opened by the Trading Member for the above said purposes from time to time). In case of any change in the Account Numbers, The Trading Member is authorized to transfer OR Pledge the Securities (As the case may be) to the New Account Number(s) with prior intimation to the client regarding such change(s) by e mail / post / displaying on our website www.rlpsecurities.com

This DDPI is restricted to the Obligation arising out of the transactions, sale affected by me/us through the Trading Member, R. L. P. SECURITIES PRIVATE LIMITED on the Stock Exchange(s) and Margin towards Stock Exchange Cash, Equity/Commodity/Currency Obligations.

I / We, further agree and confirm that the **Demat Debit And Pledge Instruction** shall be revoked without prior notice but under written intimation to R. L. P. SECURITIES PRIVATE LIMITED, 202/402, Nirmal Towers, Dwarakapuri colony, Punjagutta, Hyderabad, Telangana – 500082., subject to my/our fulfilling the Margin / settlement obligation for the transactions undertaken in my/our Trading Account with R. L. P. SECURITIES PRIVATE LIMITED.

I/We shall ratify the instructions given by the Trading Member to the Depository Participant named herein above in the manner specified herein.



R. L. P. SECURITIES PRIVATE LIMITED would return to me/us the Securities that may have been received by it erroneously or those Securities it was not entitled to receive from me/us and to debit such securities which have been erroneously credited in my/our BO Account to the respective Account.

I / We, Authorize R. L. P. SECURITIES PRIVATE LIMITED, Trading Member / Depository Participant / Depositories to send my/our consolidated summary of scrip-wise positions of securities bought and sold taken with average rates by way of SMS / Email on a daily basis to my/our Mobile No. / Email address, notwithstanding any other document to be disseminated as specified by SEBI from time to time and to send my holdings and statement of transactions to my / our designated e-mail ID. Further, I would be tracking the same from such message(s), received by me and from your website and notify the discrepancies if any within 24 hours of receipt of such messages. I/We will keep you updated on any changes in KYC Details such - Mobile Number, e-Mail ID, Address, Bank Details, Nominee, Income Net worth etc....

All disputes arising out of this Demat Debit and Pledge Instruction shall be subjected to the jurisdiction of the City Civil Courts situated at Hyderabad, Telangana.

SIGNED AND DELIVERED

By the within named Beneficial Owner(s)

<div>1</div> <div> F.</div>	<div>2</div> <div> S.</div>	<div> T.</div>
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Hyderabad

Date:

I/We Accept,
R.L.P. SECURITIES PVT. LTD.
DDPI No: 2204340000000267
402, Nirmal Towers,
Dwarakapuri Colony,
Punjagutta
Hyderabad - 500082

For R.L.P. Securities Pvt. Ltd.

Authorized Signatory

IN THE PRESENCE OF

Sign _____

Name:

Authorization / Consent for receiving - Electronic Contract Note (ECN), Settlement of Accounts, Demat Transaction cum Holding AND other statements Electronically (Voluntary)

To,
R.L.P. Securities Pvt. Ltd.
Depository Participant - CDSL
Corporate Member - NSE, BSE & MCX
402 & 202, Nirmal Towers, Dwarakapuri Colony,
Punjagutta, Hyderabad - 500 082.

Date.

Dear Sir,

Sub: Authorization/Consent for Receipt of Contract Note, Margin Intimations, Bills, Statement of Settlement/Funds/Securities, Demat transaction-cum-holding statements and all other Communications relating to Trading and Depository Participant activities through Electronic mode.

BOID No	1	2	0	4	3	4	0	0									UCC:
NAME:																	
PAN																	

I/we _____ a client with
M/s. R.L.P. Securities Pvt. Ltd, do hereby authorize, consent and undertake as follows:

- I/we am/are aware that R.L.P. Securities Pvt. Ltd has to provide physical contract note in respect of all the trades placed by me/us, unless I/we request the same for my/our convenience in the electronic form.
- I/we voluntarily without any coercion or force Authorize R.L.P. Securities Pvt. Ltd and give my/our Consent for Electronic Contract Note (ECN) and request you to enable me/us with the facility of ECN.
- I/we do hereby Authorize and give my/our consent to receive electronically all the Exchange(s)/DP related statements, Transaction Cum Holding Statements and all other statements, information and communications including but not limited to Transactional/Margin/Liquidation alerts, statement of settlement of Funds/Securities/Pledge/Repledge, Intimation and updating of KYC/PMLA etc..
- I/we, have access to computer and am/are regular internet user(s), having sufficient knowledge of handling the email operation and am/are conversant with English language.
- My/our authorized **designated email id** for receiving all the electronic communications is:
_____ (own handwriting of the client)
- My/our authorized Mobile Number for receiving all the Alerts / electronic communications is:
_____ (own handwriting of the client)

This email has been created by me/ourselves and not by someone else.

- I/we have access to the above mentioned designated e-mail id/Mobile Number belonging to:
My family members : ☐Self ☐Spouse ☐Dependent Parents ☐Dependent Children

Our : ☐Director ☐Promoter ☐Karta ☐Partner ☐Trustee ☐Authorized Signatory

- I/we am/are aware and agree to access the ECNs/statements simultaneously from your web-site www.rlpsecurities.com by way of secured and protected client specific login ID and password.
- I/we agree and accept that once the ECN /any communication have been delivered at my/our e mail id it is deemed to have been received by me/us.
- I/we agree and am/are aware that non-receipt of bounced mail notification by the RLP shall amount to delivery of the contract note at the above e-mail ID and I/We would be accessing the same from your website.
- I/we shall not hold RLP for late/non receipt of ECN/ any other electronic Communications for any reason including but not limited to failure of e mail servers, loss of connectivity, email in transit etc. The Log reports of dispatching software shall be accepted as conclusive proof of receipt of ECN and other electronic communications and shall not dispute on the same.

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- I/we understand that In case of bounce of ECN or email, it would be sent physically, In case, I/we don't receive the same in time I/we shall communicate the same to you and will not dispute.
- I/we agree to intimate you any change in the aforesaid email Id immediately in writing by Person/Post/Digitally signed E-mail/any other mode prescribed by you/Regulators from time to time and any communication received to that e mail ID, will be binding on me and the same shall not be disputed.
- I/we understand that ECN/ Statements shall be in the formats, as prescribed by the regulators from time to time and that I/we shall save/print/download the contract note/Statements for archiving.
- I/we agree that the ECN/Demat Transaction-cum-holding statements issued by you as per the terms and conditions specified shall be binding on me/us, and it would be my/our responsibility to review and monitor the same and shall bring the discrepancies if any to your notice within the stipulated time period of 24 hours in case of ECN and 7 Days in case of statements, as stipulated by the Bye laws rules and regulations of the Stock Exchange/Depositories etc.. from time to time.
- I/we agree that R.L.P. Securities Pvt. Ltd., shall not be responsible for non-receipt of documents sent via Electronic delivery due to change in email address mentioned above/any technical reason beyond the control of the member and that we shall not take cognizance out-of-station or any other auto replies.
- My/our non-verification or not accessing the contract notes /statements on regular basis shall not be a reason for disputing the contract note at any time.
- I/we understand and undertake the sole responsibility for the usage, confidentiality, protection and secrecy of all security codes, passwords, customer user identification numbers, etc., by whatever name called and will not hold the R.L.P. Securities Pvt. Ltd., or any of its officers, employees or service providers, responsible for any losses / consequences due to any access to the communications by use of such codes, password, customer user identification number etc., including cases where these security codes etc. are acquired by any person through theft, hacking/ mimicked /forgery/electronic forgery or any other modes or manner.
- I/we authorize you to upload the E-mail specified above to all the Depositories/Exchanges to receive details of the transactions done by me.
- This Authorization/ consent /service is applicable with immediate effect and is valid till it is terminated by me/us under written due intimation to you at your Head Office.

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

Signature of the Client :

1 	2 	
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Client Name: _____

Date : _____

Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

**RUNNING ACCOUNT AUTHORIZATION
(Voluntary)**

To,
R.L.P. Securities Private Limited,
402, Nirmal Towers, Dwarakapuri Colony,
Punjagutta, Hyderabad –500082.

Date:

Sub: Running Account Authorization for Funds –Reg.

I / We, _____
am/are having UCC _____ with R.L.P. Securities Private Limited, for dealing and trading on
NSE Cash/F&O/Currency, BSE Cash, and MCX Commodity Futures & Options.

I/We, hereby declare that I/We have read and understood the general guidelines issued by the Exchanges / SEBI to the Member Brokers on releasing Funds, Securities and Commodities pay-outs to the constituents within one working day of the Exchange pay-out. However being fully aware of the same, as an active investor, due to practical difficulties, I/we may not be in a position to settle my/our trades within the Exchange specified settlement schedule. Hence I/We wish to opt for Running Account Authorization for all the Segments across all the Exchanges and other services offered by R.L.P. Securities Private Limited.

1. I/We Authorize R.L.P. Securities Private Limited, to retain the pay-out of Funds received from the Exchanges on my/our behalf with you in my / our Account. The same can be used towards Margins / Settlements obligations for my / our future transactions or outstanding positions, if any.
2. I/We understand that, I/We shall specifically make a written request to you for the release of Funds as and when required by me/ us and such Funds lying in the credit would be transferred within one working day of my / our request.
3. I/We am/are well aware that for smooth execution of transactions, I/We, am/are liable to maintain applicable upfront/initial margins, Span margin, Volatility margin, mark to mark margins (MTM), withholding margins, special margins, additional pre expiry margins or any such margins as are considered necessary by you or the Exchanges or as may be directed by SEBI/Exchanges from time to time.
4. I/We am/are also well aware that you are permitted at your sole and absolute discretion to collect additional margins, even though not required by the Exchange(s) or SEBI or Clearing House/Clearing Corporation and I/We, shall be obliged to pay such margins as and when levied by you, which includes peak margin.
5. I/We Authorize R.L.P. Securities Private Limited, to retain the Collaterals including that of Fixed Deposits / Bank guarantees AND Commodities / Securities pledged by me/us to R. L. P. Securities Private Limited- CMPA Account. The same can be used towards my/ Our Outstanding Obligations, Equity Margins, Equity F&O Margins, Commodity F&O Margins, Settlement obligations for my / our future transactions across all segments and exchanges and Outstanding Debits or Positions, if any. I/We shall specifically make a written request to you for the release of any such Collaterals, as and when required by me/ us. Such Collaterals may be transferred within one working day of our request, on fulfillment of my / Our Obligations in total.
6. I/We Authorize R.L.P. Securities Private Limited, to Re-pledge the Collateral securities with Clearing Corporation for fulfilling my/our Margin Obligations. I understand that the same would be released within two working days from our request if the same are re-pledged with Clearing Corporation, on my fulfillment of Obligation.
7. I/We agree that R.L.P. Securities Private Limited, shall not be responsible for any follow-up and applying to company'/ RTA(s) for the benefits of corporate actions on my / our behalf for the securities held in Pool/CUSA Account and I/We, shall not hold R.L.P. Securities Private Limited, for any financial implications arising thereto.
8. I/We agree that R.L.P. Securities Private Limited, shall not be responsible for any follow-up or quality issues of the Commodities lying in the Warehouse or Wallets, on my/ our behalf for the commodities held in pool or margin or any other Account as may be specified by the Exchanges from time to time and I/We shall not hold R.L.P. Securities Private Limited, for any financial implications arising thereto.

9. I/We authorize R.L.P. Securities private Limited, to transfer the balances of funds and collaterals in one exchange / segment to another exchange / segment to fulfill the Debit / Margin requirements arising out of my trading obligations.
10. I/We am/are aware that my/our account if maintained on Running Account Basis and as per the guidelines of SEBI, the settlement of funds shall be done by R.L.P. Securities Private Limited, across all the Exchanges at least once in a calendar quarter or month with gap of 30/90 days between two settlements of running Account or as stipulated by SEBI/ Exchanges from time to time .

Accordingly I/We Authorize R.L.P. Securities Private Limited to settle our Account on

Quarterly basis ☐

Monthly basis ☐

The computation for settlement of accounts shall be in compliance with the guidelines stipulated by the Exchanges and the regulators from time to time.

Calculation of margin for such retention shall be as per the guidelines issued by the regulators and policies laid down by RLP Securities Private Limited from time to time.

Considering and retention of collaterals, while settling the Running account shall be as per the guidelines issued by the regulators and policies laid down by RLP Securities Private Limited from time to time.

11. I/We understand that R.L.P. Securities Pvt. Ltd., shall be sending me/us the detailed 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 Securities And Commodities. The statement shall also explain the retention of Funds, Securities and Commodities and the details of the Collaterals, if any, as stipulated by the Exchanges/ SEBI from time to time.
12. I/we shall bring any dispute arising from the statement of Account or settlement so made to your notice within 7 working days from the date of receipt of such statement. In case the same is not resolved, I/we would refer the matter to the Investors Grievance Cell of the relevant Commodity/Stock exchanges without any Delay but not later than 7 days or as stipulated by the Exchanges/ SEBI from time to time.
13. This consent of maintenance of running account is valid till the same is revoked by me with my written consent under intimation to R.L.P. Securities Private Limited, at its Registered Office - 402, Nirmal Towers, Dwarakapuri Colony, Punjagutta, Hyderabad -500 082.
14. I/ We understand that this Running account is subject to the guidelines of the Exchanges and Regulators and changes, if any would be displayed on the website and intimated by email

I/we further state that this authorization is given by me/us purely out of my/our choice of convenience. I/we shall not make any claim whatsoever upon R.L.P. Securities Pvt. Ltd., standing guided by this Authorization in favor of maintaining my/our account on running account basis..

Yours truly,

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(To be signed by the Client only and not by its attorney or representative)

Declaration cum Undertaking on Internet & Wireless Technology based trading facility (Voluntary)

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned here in shall also be applicable.) I am executing this Internet & wireless technology based trading / Mobile Trading/ IBT facility declaration cum undertaking on my own as voluntary document to ensure the transparency of Member client relation. I am aware that it's left to my discretion to execute this optional undertaking.

1. I understand that R.L.P. Securities Pvt Ltd (RLP), MEMBER of National Stock Exchange India Ltd., Bombay Stock Exchange Ltd., Multi-Commodity Exchange of India Ltd., with SEBI Registration No.INZ000166638 is eligible for providing Internet Based Trading (IBT) /Mobile Trading/ 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) And am satisfied that RLP 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. I am desirous of investing/trading in securities and for this purpose, am desirous of using either the internet based trading facility / the facility for securities trading through use of wireless technology /Mobile Trading provided by RLP. I agree to avail the above Services on the terms and conditions specified by RLP, in accordance with the SEBI/Exchanges Provisions from time to time, I also understand that they are also displayed on the website of RLP, www.rlpsecurities.com
3. I am aware of the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology as provided by RLP. I have understood and am aware of the same as notified and explained to me by RLP.
4. I am aware that IBT system itself generates the initial password and it has two way authentication process and password policy as stipulated and in line with the norms prescribed by Exchanges/SEBI from time to time. I am also aware of the process of obtaining password, in case of FORGOT password.
5. I understand that, I shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the IBT System provided by RLP using the Client's Username and/or Password whether or not such a person was authorized to do so by me. Also I am aware that the 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 is not revealed to any third party including the Authorized Persons, employees and dealers of RLP.
6. I shall immediately notify the Stock broker in writing, if I discover any security flaw in IBT System provided by RLP, discovers/suspects discrepancies/unauthorized access through my username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. I am 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 that I shall be fully liable and responsible for any and all acts done in the my username/password in any manner whatsoever.
8. I am aware that RLP shall send the order/trade confirmation through email to my registered email ID on my consent and request to accept ECN. I am also aware that the order/trade confirmation is also provided on the web portal of RLP. While trading using wireless technology, I am aware that the order/trade confirmation is also available on the trading Device.

9. I am aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. and are susceptible to interruptions and dislocations. RLP and the Exchange(s) do not make any representation or warranty that the IBT Service will be available to the Client at all times without any interruption.
10. I shall not have any claim against the Exchange or RLP on account of any suspension, interruption, non-availability or malfunctioning of the IBT System or related services provided by RLP or the Exchange' service or systems or non execution of my orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.
11. I understand that, RLP at its discretion, will offer, to select clients who use the internet trading facility. The client cannot claim, access to the internet trading facility provided by Stock Broker, as a matter of right. RLP can discontinue the access to such trading at the absolute discretion of RLP without giving notice.
12. In case of failure of IBT or wireless system, I would be executing all my orders, including that of square off trades through the contingent systems available at the HO of RLP and shall be solely responsible for such trades and that I will not claim for any delay or non execution of such trades under the circumstances beyond the control of RLP.
13. I understand that, whenever, I am not accessing the system, I should be logging off the same or have password protected access to protect the system from misuse.
14. The operation of bank account, would be exclusively for transactions executed through the internet trading facility offered by RLP and the same will be as per the RBI / concerned bank' guidelines.
15. I understand that for determining the transactions done by me on IBT, RLP shall provide the relevant electronic logs available by way of system audit trail and that I agree to accept the same as conclusive proof of transactions executed by me either through the internet trading facility provided by RLP and or through the Net banking using the Electronic Payment Gateway. RLP shall not be required to provide any additional evidences in proof of the transactions executed by me.
16. I undertake that I have not been prohibited, under law, to access the internet trading and Net banking and /or to deal in securities market.
17. I shall co-operate and provide RLP with such information and / or assistance as is required by RLP for the performance of the services and / or any other obligations of the stock broker in this regard.
18. I agree to pay the charges, as may be stipulated by RLP under intimation to me, from time to time, for availing this service and shall authorize RLP to debit these charges from my Trading Account.
19. I understand that In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
20. I am aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions
21. The CLIENT agrees that the MEMBER shall not liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/MEMBER/EXCHANGE end.
22. The Stock Exchange may cancel a trade Suo-Moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.

Date:

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MEMBER-CLIENT AGREEMENT - INTERNET

This agreement is made at Hyderabad this _____ day of _____ 20____ between M/s. R.L.P Securities Pvt. Ltd., a company duly formed and registered under the Companies Act 1956 (Member of National Stock Exchange of India Ltd., Member of Bombay Stock Exchange Ltd. Member of Multi-Commodity Exchange of India Ltd., with SEBI Registration No. INZ000166638) hereinafter called MEMBER and having its registered office at 402, Nimal Towers, Dowrakapuri Colony, Punjagutta, Hyderabad - 500 082, and _____ an individual / company / trust / firm or any other body duly formed and registered under the relevant Act, hereinafter called the CLINT, having his / her/its residence / registered office at _____

WITNESSTH:

Whereas the MEMBER is registered as TRADING MEMBER of National Stock Exchange of India Ltd., Member of Bombay Stock Exchange Ltd. Member of Multi-Commodity Exchange of India Ltd., with SEBI Registration No. INZ000166638)

Whereas the CLIENT is desirous of investing/trading in those securities admitted for dealing on the Exchange as defined in the Bye-Laws of the Exchange.

Whereas the CLIENT has satisfied itself of the capability of the MEMBER to deal in securities and wishes to execute his orders through him and the CLIENT shall continue to satisfy itself of such capability of the MEMBER before executing orders through him.

Whereas the MEMBER has satisfied and shall continuously satisfy himself about the genuineness and financial soundness of the CLIENT and investment objectives relevant to the services to be provided.

Whereas the MEMBER has taken steps and shall takes steps to make the CLIENT aware of the precise nature of the MEMBER's liability for business to be conducted, including any limitations on that liability and the capacity in which it acts.

In consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions:

1. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations and guidelines issued by SEBI and Stock Exchange rules, regulations and Byelaws that may be in force from time to time.
2. In the event of death or insolvency of the client or his otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, MEMBER may close out the transaction of the client and the client or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result there from.
3. The agreement entered into between the MEMBER and the CLIENT shall stand terminated by mutual consent of the parties by giving at least one month written notice. Such cancellation or termination shall not have any effect on transaction executed before the date of such notice of termination and the parties shall enjoy the same rights and shall have same obligations in respect of such transactions.
4. The instructions issued by an authorized representative of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the client.

for R.L.P. Securities Pvt. Ltd.,

5. The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorized representative are not revealed to any third party.
6. The CLEINT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT / MEMBER / EXCHANGE end.
7. The Stock Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.
8. The MEMBER shall also send the Order/Trade confirmation slip through E-mail to the CLIENT at his request, within _____ (time period as specified by the Client) from the time of execution of order/trade on the NEAT system, as the case may be. The CLIENT agrees that the information sent by MEMBER by E-mail is deemed to be a valid delivery of such information by the MEMBER.
9. The CLIENT is aware that the MEMBER has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by the MEMBER's risk management, by the MEMBER and is also aware that the MEMBER has the discretion to reject the execution of such orders based on his risk perception.
10. The Member and the Client are aware of the provisions of Bye-Laws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.
11. All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Mumbai and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Mumbai for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

IN WITNESS THEREOF, the parties to agreement have caused these presents to be executed as of the day and year fist above written.

CLIENT CODE:

Signed for and on behalf of

CLIENT:

for R.L.P. Securities Pvt. Ltd.,

1
 34 _____

2
 X

Authorized Signatory

Signature By:

Title:

Title:

Witness:

Witness:

**Voluntary Undertaking/Declarations
(On General terms governing Member-Constituent Relationship)**

Name:

UCC:

I / we do hereby declare and authorize R.L.P. Securities Pvt. Ltd, (here in referred to as RLP) as under:

1.) ORDER PLACEMENT INSTRUCTIONS:

I understand that RLP requires written instructions from me for placing/modifying/cancelling orders. As it is not practical for me to give written instructions for placing/modifying/cancelling order, even in case of my opting internet trading, where I may have to place order Verbally / Telephonically or through my Authorized Representative.

I hereby request RLP to accept my/our/mandate holder' verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of Verbal orders and accept the same. I shall not disown the orders under the plea that the same was not placed by me, provided I am sent ECN/Physical Contract Notes or Trade confirmations through SMS and other modes, the same shall be accepted by me as **valid primary evidence of placement of orders** and shall not dispute on the same.

I / We indemnify RLP and its staff against all trade related losses, damages, actions which RLP/STAFF /AP may suffer or face, as a consequence of adhering to and carrying on my/our instructions for orders placed verbally.

2.) ERRORS WHILE PLACING ORDERS:

I understand and agree that inadvertent errors may occur, while executing orders placed by me. Under such circumstances RLP, shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold RLP responsible beyond this and shall not claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by RLP.

I shall not have any claim against the Exchange, RLP on account of any suspension, interruption, non-availability or malfunctioning of the trading system, RMS, while setting the limits or related services provided by RLP or the Exchange(s) service or systems or non execution of my orders due to any link / system failure at the RLP/Exchange end for any reason beyond the control of RLP/Exchanges.

RECORDING OF CONVERSATION: RLP shall record the conversation of the client with the dealer or any other staff. I agree to the same and shall not dispute or raise any objection on the same, In case of any dispute in trade, I shall rise the same immediately but not later than 6 hours of execution or trade confirmation sent by RLP.

3.) NOT TO INDULGE IN MARKET MANIPULATION:

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades, artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc.. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, RLP reserves the right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

4.) NOT TO ACT AS UNREGISTERED SUB BROKER:

I undertake not to act as unregistered Sub-broker and to deal only for myself and not on behalf of other clients. In case, I wish to deal for other clients also, I undertake to do the same by registering as an Authorized person, on such terms and conditions as framed by SEBI/Exchanges from time to time. In case RLP perceives that I am acting as an unregistered sub broker, RLP reserves the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me, without the requirement of any notice. Further, RLP reserves the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify RLP from any loss/ damage/claim arising out of such activity.

5. NOT DECLARED DEFAULTER / BANNED ENTITY:

I/We Confirm that I/we/any of our directors/key persons have not been involved in any terrorist activities and have not been declared a defaulter or my/our name is/are not appearing in any defaulter database as per SEBI/Various Exchanges/Regulatory bodies etc..

I agree to inform RLP in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case, I fail to inform the same and RLP on its own comes to know of such action, RLP can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances and suspend/close my trading account and refuse to deal with me, without any notice.

6. PMLA –DECLARATION:

I confirm that I had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained to me. I further declare that I shall adhere to the rules, regulations and requirements mentioned in the PMLA Act, 2002 as amended from time to time. I hereby confirm, that I shall be investing from my own funds in the Financial Markets. I shall keep RLP informed of my/our borrowed funds.

I further undertake and confirm that:

I do not have any links with any known criminal/unlawful persons/institutions.

I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

7. THIRD PARTY PAYMENTS OR RECIEPTS NOT ACCEPTED:

RLP shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per Performa prescribed by RLP. RLP shall not be responsible for any loss or damage arising out of such refusal or acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third party payment has been accepted by RLP and the credit for the same has been given in the client' ledger; RLP reserves the right to immediately reverse such credit entries on noticing or becoming aware of the same and RLP reserves the right to liquidate any of the open positions and / or any of the collaterals received/ held on behalf of the client. RLP, its Directors and employees shall not be responsible for any consequential damages or losses.

All the payments should be made only in the name of R.L.P. Securities Pvt. Ltd. RLP its Directors and employees shall not be responsible for any loss or damage arising out of such payments made on any third party. RLP shall not issue payment in the name of the third party

If for any Reason the cheque given by the client, is returned unpaid, RLP reserves the right to square up the Transactions at the time decided by the RLP and stop any further transaction(s), without assigning any reason whatsoever.

8.) NO DEALING IN CASH: RLP as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Employee/Authorized Person of RLP.

9.) DISCLOSURE OF PROPRIETARY TRADING BY R.L.P. Securities Pvt. Ltd., (RLP)

Pursuant to SEBI Circular Number SEBI/SEC/MRD/SEC/Cir-42/2003 dated November 19, 2003, RLP discloses to its clients about its policy on proprietary trades. RLP does proprietary trades along with Client business, in the Cash segment at NSE and BSE

10.) THIRD PARTY DELIVERIES NOT ACCEPTED: I understand that the UCC should be mapped with the BO account in Depository and only such shares for which there is a sale obligation mapped with UCC, will be accepted by the Clearing House for settlement.

11.) SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

Even though RLP makes all the efforts to intimate the Margin(s)/Positions/Trades executed in the client Trading Account through SMS/Phone/E mail, I understand that I am under the obligation and shall track Margin(s) /Positions/Trades executed in my trading Account on dynamic and live Market conditions and shall full fill all my obligations and shall not dispute on the same.

I shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds or delivery of the shares, as the case may be. In case client fails to settle the transactions within the settlement date, then RLP reserves the right to square off the open and unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. RLP, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of RLP.

After such square off of open positions, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, RLP shall have the right to liquidate the shares held in Demat Account of the client supported by POA/DDPI and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. RLP, its Directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

12. INDEMNIFICATION: I hereby indemnify and hold RLP its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to RLP directly or indirectly, relating to bad delivery of shares/securities and/or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/operations on the Exchange(s) and/or proof of address, identity and other supporting/documents provided by me at the time of registration and/or subsequently.

INDEMNITY OF JOINT HOLDINGS: I hereby agree to indemnify and hold RLP harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

13. AUTHORIZATION FOR DISCLOSURE OF CLIENT DETAILS:

I/We hereby expressly authorize RLP to disclose/provide to SEBI, Exchange(s), Depositories, any Regulatory body, Trade body, association of stock brokers including the ANMI, related website(s), or any organization which maintains such a dispute or default database for the purpose of sharing the information with stock brokers/traders etc., my/our registration, identification, transaction and accounting details as well as any other details relating to any dispute or default in fulfilling my/our obligations to RLP. I / We agree and confirm that I / We shall not act or make any claim against any body or organization or database to whom such information is furnished.

Notwithstanding any obligation on RLP to maintain confidentiality of information, RLP may disclose, share or part with all the information, data or documents relating to client' KYC and transactions to SEBI, Exchanges, RLP Group Companies / Credit Bureaus/Agencies/Statutory Bodies/FIU IND or any other competent authority without prior consent or notice to the client.

14. INVESTMENT ADVICE: I understand that RLP shall not be under obligation to provide any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. Any such recommendation/advice, shall not imply solicitation of investment or action. I shall take my own decisions, in consultation with my financial advisor.

15. UNDERSTANDING OF POLICIES AND PROCEDURES GOVERNING THE TRANSACTIONS:

I understand that I am under obligation to keep track of RLP web site www.rlpsecurities.com for regular check on accounts, margin requirements, open positions, delivery status, securities holdings, ledger balance, latest policy and procedures, General Terms and Conditions of Service, Executed KYC forms, Rights & Obligations, Do' And Don's, Investor Charter etc., Various updates and to have track of all significant "olicies and Procedures" and General Terms and conditions governing the services provided by RLP and changes thereon.

16.) UNDERSTANDING ON REGULATIONS GOVERNING THE TRADING AND DEMAT ACCOUNT:

I/we have read and understood /been explained the contents of Account opening Kit & Index of Documents issued by SEBI, CDSL, NSE, BSE AND MCX forming integral part of agreement for opening of Demat & Trading Account delivered by RLP.

17.) CORPORATE BENEFITS: I understand that R.L.P. Securities Private Limited, shall not be responsible for any follow-up and applying to company' / RTA(s) for the benefits of corporate actions on my / our behalf for the securities held in Pool/CUSA Account and I/We, shall not hold RLP for any financial implications arising thereto. I/We agree that RLP shall not be responsible for any follow-up or quality issues of the Commodities lying in the Warehouse or Wallets, on my/ our behalf for the commodities held in pool or margin or any other Account as may be specified by the Exchanges from time to time and I/We shall not hold R.L.P. Securities Private Limited, for any financial implications arising thereto.

18.) FUNDS RECONCILIATION & ORDER(S) MONITORING: I/we shall monitor and reconcile funds/ securities transferred by RLP to my/our Bank/ DP account. I/we shall bring to the notice of the RLP if any funds and / or securities are received in excess. It shall be binding on me/us to return the excess securities/funds thus received from RLP. In case I/we do not return the funds/ securities received in excess within 2 days of the receipt, RLP shall have right to recover the same from the client' trading account of credit balance (if available) or by selling the securities available in his collateral margin account or his Demat account opened with RLP DP . RLP shall have right to hold back any funds or securities for which payment has been requested by the client, till the client returns to RLP excess funds/securities thus received.

19.) SYSTEM RISKS: RLP shall take all possible measures to ensure the smooth functioning of all the Trading connectivity. RLP shall not be responsible for any execution/ non execution/delay in execution of orders (which includes fresh or open orders) due to any Technical glitch at RLP end or Exchange level, beyond the control of RLP. I/we shall not dispute on the same and shall co operate with RLP and shall fulfill all such obligations. I/we understand that all the transactions are controlled by RMS, as per the policy of RLP and the Exchanges, I shall not claim any damages or hold RLP responsible for any delay/ Non execution of such orders, beyond the control of RLP.

20.) AMENDMENT: The Rules, Regulations, Bye-laws, Guidelines, directions and notifications of the Exchanges / SEBI/ Depositories are subject to change from time to time, accordingly, the Policies and Procedures of RLP are subject to change. RLP shall intimate the Client by e mail/post/displaying the same on its Website and I/we understand that the same are binding on we /us.

21.) NOTICE PERIOD: I/we understand that I have the right to terminate the member client relationship through communication in writing within 30 days notice subject to my full filling all the financial and other obligations

22.) FORCE MAJEURE: RLP and/or its Directors, Employees and Agents will not be liable for losses caused to the client directly or indirectly by the government restriction, SEBI, Exchange or market rulings, suspensions of trading, power failures, computer, communication, telephone or system failure, war, earthquake, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the control of RLP. The above Force Majeure events do not exempt the Client to fulfill the obligations.

I/we am aware that the above is a voluntary document and any clause in the above document can be withdrawn under written intimation to R.L.P. Securities Pvt. Ltd, at its Registered Office.

I/we accept the above and had voluntarily given our consent.

Signed and delivered by

1  38 _____

2 x

Date:

ACKNOWLEDGEMENT

To,
R.L.P. Securities Pvt. Ltd.
402, Nirmal Towers, Dwarakapuri Colony,
Punjagutta, Hyderabad –500082.

Dear Sir,

I/We acknowledge the receipt of the following documents:

1. Booklet containing
 - a. Rights and Obligations of Stock Brokers, Sub-Brokers and Clients
 - b. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.
 - c. Rights & Obligations of members, authorized persons and clients as prescribed by SEBI and Commodity exchanges.
 - d. Risk disclosure Document for Capital Market Derivatives Segment and Commodity Derivatives Segment
 - e. Guidance Note -DO's and DON'Ts for Trading on the Exchange(s) for Investors As prescribed by SEBI and Stock Exchanges, vide its circular dated: August 22, 2011.
 - f. Investor Charter
 - g. Policies & Procedures of the Stock Broker.
2. Xerox copy of duly executed
 - a. CKYC, KYC-A& KYC - B (Trading Account details)
 - b. Most Important Terms and conditions (MITC)
 - c. Additional Information relevant to Demat Account
 - d. Tariff Sheet (Trading & Demat Account)
 - e. DDPI for Settlement / Margin Obligations
 - f. Running Account Authorization
3. Document stating the General Terms & Conditions Governing the Services provided by R.L.P. Securities Private Limited.,
4. All other Voluntary Documents as executed by me / us - Authorization for DDPI, ECN Consent, Running Account Consent, Declaration on IBT and Member Constituent relationship FATCA-CRS in the KYC kit.


I/We further state and confirm that I/We have read and understood all the clauses of the aforesaid document(s).

I/We also confirm that I/We received the relevant documents and sought the clarifications, wherever required from the officials of R.L.P. Securities Pvt. Ltd., I/We here by agree to be bound by such provisions as have been outlined in these documents.

I/We also understand that the above documents are displayed in the Member website www.rlpsecurities.com and that any changes or additions in the above documents from time to time will be displayed on the above said website.

Yours Truly

1  F

2  S

T  T

Client Name: _____ Client Code: _____

Address: _____



**Declaration Form of Ultimate Beneficial Ownership [UBO] /
Controlling Persons**
(Mandatory for Non-individual Investors)

I: Investor details:

Investor Name										
PAN*										

II: Category

☐ Our company is a Listed Company on a recognized stock exchange in India / Subsidiary of a or Controlled by a Listed Company *[If this category is selected, no need to provide UBO details].*

Name of the Stock Exchange where it is listed#. _____

Security ISIN# _____

Name of the Listed Company (applicable if the investor is subsidiary/associate):

#mandatory in case of Listed company or subsidiary of the Listed Company

☐ Unlisted Company ☐ Partnership Firm/LLP ☐ Unincorporated association/body of individuals

☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust ☐ Trust created by a Will.

☐ Others *[please specify]* _____

UBO / Controlling Person(s) details.

Does your company/entity have any individual person(s) who holds direct/indirect controlling ownership above the prescribed threshold limit? ☐ Yes ☐ No

If 'YES' - We hereby declare that the following individual person holds directly/ indirectly controlling ownership in our entity above the prescribed threshold limit. Details of such individual(s) are given below.

If 'NO' - declare that no individual person (directly / indirectly) holds controlling ownership in our entity above the prescribed threshold limit. Details of the individual who holds the position of Senior Managing Official (SMO) are provided below.

	UBO-1 / Senior Managing Official (SMO)	UBO-2	UBO-3
Name of the UBO/SMO#.			
UBO/SMO PAN#. For Foreign National, TIN to be provided]			

% of beneficial interest#.	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA.(for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA.(for SMO) <input type="checkbox"/>	>10% controlling interest. <input type="checkbox"/> >15% controlling interest. <input type="checkbox"/> >25% controlling interest. <input type="checkbox"/> NA.(for SMO) <input type="checkbox"/>
UBO / SMO Country of Tax Residency#.			
UBO / SMO Tax payer Identification Number / Equivalent ID Number#.			
UBO / SMO Identity Type			
UBO /SMO Place & Country of Birth#	Place of Birth_____ Country of Birth_____	Place of Birth_____ Country of Birth_____	Place of Birth_____ Country of Birth_____
UBO / SMO Nationality			
UBO / SMO Date of Birth [dd-mmm-yyyy] #			
UBO/SMOPEP#	Yes-PEP. <input type="checkbox"/> Yes-Related to PEP. <input type="checkbox"/> No-Not a PEP <input type="checkbox"/>	Yes-PEP. <input type="checkbox"/> Yes-Related to PEP. <input type="checkbox"/> No-Not a PEP <input type="checkbox"/>	Yes-PEP. <input type="checkbox"/> Yes-Related to PEP. <input type="checkbox"/> No-Not a PEP <input type="checkbox"/>
UBO / SMO Address [include City, Pin code, State, Country]	Address:	Address:	Address:
City Pin code State Country			
UBO/SMO Address Type	Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office. <input type="checkbox"/>	<u>Residence</u> <input type="checkbox"/> <u>Business</u> <input type="checkbox"/> <u>Registered Office.</u> <input type="checkbox"/>	<u>Residence</u> <input type="checkbox"/> <u>Business</u> <input type="checkbox"/> <u>Registered Office.</u> <input type="checkbox"/>
UBO/SMO Email			
UBO/SMO Mobile			
UBO / SMO Gender	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>	Male <input type="checkbox"/> Female <input type="checkbox"/> Others <input type="checkbox"/>

UBO / SMO Father's Name			
UBO / SMO Occupation	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>	Public Service <input type="checkbox"/> Private Service <input type="checkbox"/> Business <input type="checkbox"/> Others <input type="checkbox"/>
SMO Designation#			
UBO/SMO KYC Complied?	Yes / No. If 'Yes' please attach the KYC acknowledgement. If 'No' complete the KYC and confirm the status.	Yes / No. If 'Yes' please attach the KYC acknowledgement. If 'No' complete the KYC and confirm the status.	Yes / No. If 'Yes' please attach the KYC acknowledgement. If 'No' complete the KYC and confirm the status.

Mandatory column.

Note: If the given columns are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

*Participating Mutual Fund(s) /RTA may call for additional information / documentation where ever required or if the given information is not clear/incomplete/correct and you may provide the same as and when solicited.

Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading, or misrepresenting, I/We am/are aware that I/We may be liable for it including any penalty levied by the statutory/legal/regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/RTA/other registered intermediaries can make reliance on the same. I/We hereby authorize you [RTA/Fund/AMC/Other participating entities] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further, I/We authorize to share the given information to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your /Fund's end or by domestic or overseas regulators/tax authorities.

Signature with relevant seal:

1 Name: X Designation:

2 Name: X Designation:

Name: Designation:

Place: _____

Date: / ____ / ____

Instructions on Controlling Persons/Ultimate Beneficial Owner

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of / entitlement to:
 - More than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
 - More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
 - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

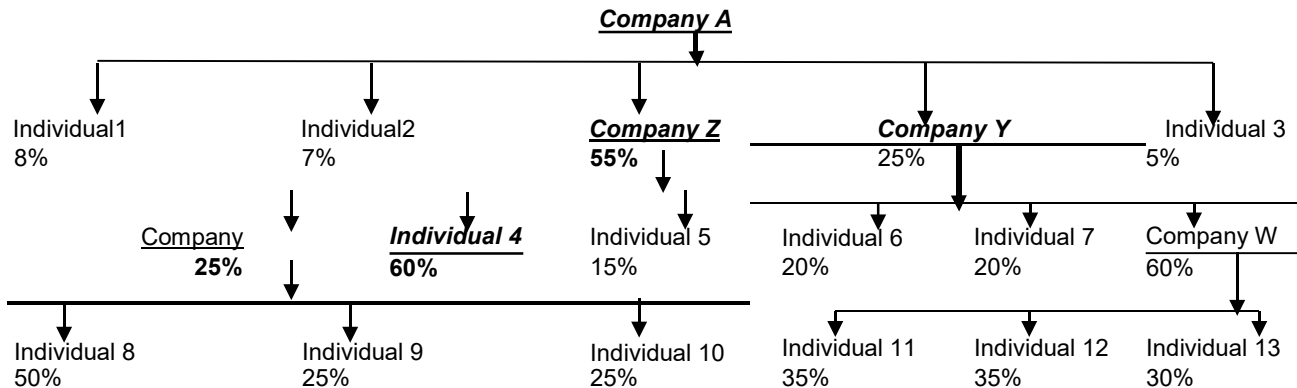
The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any share holder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors' viz. 'Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

D. KYC requirements

Beneficial Owner(s) / Senior Managing Official (SMO) is/are required to comply with the prescribed KYC process as stipulated by SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s)/ SMO(s).

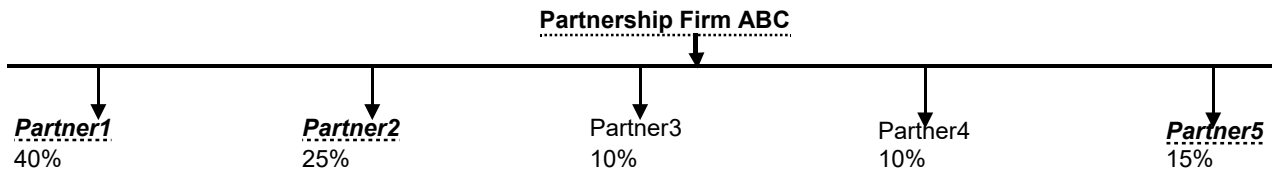
Sample Illustrations for ascertaining beneficial ownership:

Illustration No.1– Company A



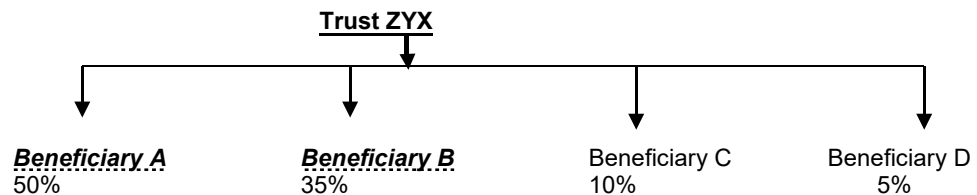
For Applicant A, Individual 4 is considered as UBO as it holds effective ownership of 33% in Company A. Hence details of Individual 4 must be provided with KYC proof, Share holding pattern of Company A, Z & Y to be provided along with details of persons of Company Y who are senior managing officials and those exercising control.

Illustration No.2–Partner ABC



For Partnership Firm ABC, Partners 1, 2 and 5 are considered as UBO as each of them holds $\geq 15\%$ of capital. KYC proof of these partners needs to be submitted including share holding.

Illustration No.3–Trustee ZYX



For Trust ZYX, Beneficiaries A, B and C are considered as UBO as they are entitled to get benefitted for $>10\%$ of funds used. KYC proof for these beneficiaries needs to be submitted. Additionally, if they have nominated any person or group of persons as Settlor of Trust/Protector of Trust ,relevant information to be provided along with the proof indicated.

Instructions/Guidelines for filling Individual KYC Application Form

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list 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 addresses 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 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC


- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

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- » Equities
 - » Derivatives
 - » Commodities
 - » Currency Futures
 - » Internet Trading
 - » Depository
 - » Mutual Funds
 - » IPO 's
 - » Fixed Deposits
 - » Insurance
 - » Advisory Services

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