

SARAL

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

I KYC - Please fill this form in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Father's/ Spouse Name: _____
3. a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: ____ (dd/mm/yyyy)
4. Nationality: _____
5. a. PAN: _____ b. Aadhaar Number, if any: _____
6. Specify the proof of Identity submitted: _____

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

1. Residence/ Correspondence Address: _____ City/town/village: _____
Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
3. Permanent Address (if different from above address): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
4. Specify the proof of address submitted for residence/correspondence /permanent address: _____

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

☐ Originals verified and Self-Attested Document copies received (.....)

Name & Signature of the Authorised Signatory
Seal/Stamp of the intermediary

Date

II OTHER DETAILS:

1. Bank account details:

| Bank Name | Branch address | Bank account no. | Account Type: Saving/Current/ | MICR Number | IFSC code |
|-----------|----------------|------------------|-------------------------------|-------------|-----------|
| | | | | | |

2. Demat account details: (In case the client does not have DP account, this column may be crossed)

| DP name | NSDL/CDSL | Beneficiary name | DP ID | BO ID |
|---------|-----------|------------------|-------|-------|
| | | | | |

3. Whether DP account is also to be opened with the same intermediary (Yes/No)

4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

| Exchange | Sign | Exchange | Sign | Exchange | Sign |
|----------|------|----------|------|----------|------|
| NSE | | BSE | | MCX-SX | |

5. Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference).....

6. Standing instructions to receive credits automatically into my BO account (Yes/No)

7. Nomination details (Name, PAN, Address and Phone no. of nominee); relationship with the nominee (If nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: -----

| | | | | |
|---------|-----------|------------------|-------|-------|
| DP name | NSDL/CDSL | Beneficiary name | DP ID | BO ID |
| | | | | |

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

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

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

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Signature of the Authorised Signatory**Date****Seal/Stamp of the stock broker**

NOTE: This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts ' "
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.



Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no

charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Annexure – 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

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

LIQUIDATION AND CLOSE OUT OF POSITION

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

entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

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

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

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

LAW AND JURISDICTION

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

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT
(All the clauses mentioned in the '*Rights and Obligations*' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

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

Annexure – 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

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

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

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

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

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

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

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

2.2 Currency specific risks:

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

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

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

2.3 Risk of Option holders:

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

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

2.4 Risks of Option Writers:

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

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

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

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

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

4. GENERAL

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

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

Annexure-6

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

BEFORE YOU BEGIN TO TRADE

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

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such

settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
- 14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
- 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

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

DISPUTES/ COMPLAINTS

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

**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**

Background:

R.L.P. Securities Private Limited (hereinafter referred to as RLP) had framed these Policies and Procedures to be in compliance with the regulatory requirements and align with the industry best practices and guidelines prescribed by SEBI (including SEBI's Circular MIRSD/SE/Cir-19/2009 dated 03rd December 2009) Stock Exchanges, Clearing Corporations, and other competent authorities from time to time. We have adopted this policy of Risk Management System (RMS) to ensure better understanding on the outlines of the framework for identifying, assessing, and mitigating the risks while dealing with our clients to ensure, stability and efficiency of our DP and Broking activities.

Policy and Scope:

This policy is applicable to all our registered clients and governs the risk management aspect. Any aspect not explicitly covered in this policy shall be governed by the Rights and Obligations Document, the Policies and Procedures adopted by us, the Standard Operating Procedures and guidelines as specified by SEBI and relevant Exchanges from time to time.

RISK MANAGEMENT FRAMEWORK:

Margins, Risk Monitoring and Reporting:

- Real-time monitoring of Margin Obligations and open positions by the clients.
- Regular monitoring, evaluation and honoring the commitments in time to avoid Default.

Margin Requirements:

Initial Margin & Maintenance Margin

- Clients with open positions / trading are under obligation to monitor their positions and must maintain margins as per the Exchange's guidelines or any higher. Margins as specified by us.
- Higher margin requirements may be imposed during periods of high market volatility/nearing tender period/physical Delivery settlement Margins and settlement obligations.
- Leverage and Collateral restrictions shall be purely at the sole discretion of RLP to restrict exposure in leveraged products and limit the margin available against collateral depending on risk conditions.

COLLECTION OF MARGINS:

RLP shall be collecting the Margins from the clients under obligation to pay all the margins as prescribed by SEBI and relevant Exchanges, including Initial margin, Mark-to-Mark Margin, Exposure margin, Pre-expiry margin, Tender period or delivery period margin, Additional margin and Special margin or any other margin specified by Exchanges/Regulator from time to time. RLP reserves the right to call for a higher percentage of margins from the client than stipulated by the Exchanges/Regulator, depending on risk assessment or Surveillance parameters or market volatility. The clients are under obligation to maintain upfront all the Margins including EOD and Peak Margins as applicable as per the statute.

Forms of Margin Collection:

All Margins should be in the form of Funds, considering collaterals by way of Re Pledge of stocks after appropriate hair cut or in any other form as approved by SEBI and Exchanges is at the discretion of RLP. The clients cannot dispute on the same.

REPORTING OF CLIENT'S MARGINS TO EXCHANGES & PENALTY FOR MARGIN VIOLATIONS:

As per the guidelines issued by SEBI/Exchanges & Clearing Corporations, we need to collect all the Margins upfront before allowing the trade & report the same to Exchanges/Clearing Corporations. In case of open positions at multiple exchanges/segments, we shall apportion the available funds and collaterals at our desecration and practice.

As per the regulatory norms, applicable penalties on instances of margin shortages will be debited to clients' ledger with applicable tax rates subject to regulatory guidelines from time to time, actual penalties for short collection/non-collection of margins other than "upfront margins" such as consolidated crystallized obligation, Delivery margins, other margins (Mark-to-market & additional margins) may be passed on to client accounts. Further, any penalty levied by clearing corporations for short/non-collection of upfront margins will be passed on to client if short/non collection of upfront margins is on account of following reasons attributable to client where:

- a) Cheques issued by clients not cleared within the stipulated period or dishonored.
- b) Increase in margins on account of change in hedge position by client/ expiry of some leg(s) of the hedge positions of the clients. The potential situations resulting in a hedge break / loss of cross margin benefits due to square off transactions executed by the clients, expiry of some leg(s) of the hedge positions of the clients. In such scenarios, higher margin obligation will be incurred on the open positions of the clients.

1. Setting up Client's Exposure Limits:

RLP reserves the right to allow differential purchase limits and sell limits varying from client to client, depending upon the credit worthiness, integrity, past trading record availability of funds and collaterals by way of Re Pledge of stocks after hair cut or any other collateral approved by the Exchanges based on the volatility and market conditions which may vary from time to time.

RLP shall provide a sell limit to the client equivalent to the value of securities held by the client in POA/DDPI enabled Demat account with our CDSL DP and the collaterals held with us by way of Pledge/Re Pledge with our Client Margin Pledge/CUSPA/MTF Pledge Account held on behalf of our clients after making appropriate adjustments for the unsettled delivery positions of the Client. Allowing sell limit to the clients for shares held in our DP without DDPI or with other DP is at the absolute discretion of RLP. Sell limit in Equity segment without holding securities is not allowed. RLP may at its discretion allow selling in securities traded in F&O, to the extent allowed by the Exchanges and Regulators from time to time. Clients are educated to not to indulge in any short selling without holding shares. All such instances of short selling shall be reported to the Exchanges and suitable action shall be initiated against such clients, if we do not receive proper rationale behind such short selling and Auction of shares as prescribed by the Exchanges and the Regulators. Alerts are also generated by the Exchanges on such short selling and may also directly initiate action including suspension of UCC by PAN.

RLP at our sole discretion may provide an exposure limit for intraday, Delivery, BTST, Derivatives which include Futures/Options in Equity, Commodity/ Currency as per the norms specified by the Exchanges from time to time on the availability of upfront margins by way of clear credit balance. Considering collaterals held by way of Re pledge with appropriate hair cut or any other form as per the regulation for margin purpose is, at the sole discretion of RLP and the client shall not dispute on the same.

Margin Requirement and Exposure allowed:

| Sr No | Product-segment wise | Description | Limit Setting |
|-------|--|---------------------------------------|---|
| 1 | Equity | Delivery trades | One time exposure 100 % margin |
| 2 | Intraday -Equity | Intraday Trades | Maximum 5 times - based on scrip margin(VAR+ELM} % |
| 3 | BTST | BTST Trades | Minimum required margin 40% |
| 4 | FAO Intraday Equity/Currency/Commodity | FAO intraday Trades | One time exposure - 100 % of Exchange SPAN margin + Exposure Margin |
| 5 | FAO Futures Equity/Currency/Commodity | FAO Equity Futures Trades/Option Sale | One time exposure - 100 % of Exchange SPAN margin + Exposure Margin |
| 6 | FAO options Equity/Currency/Commodity | FAO Equity Options Trades | One time exposure - 100 % of Option premium /margin |
| 7 | TFT Intraday | Not allowed | NA |
| 8 | Equity - Surveillance Measures (ESM/ASM/GSM/IBC) | Trading Restricted | Subject to approval of senior management and appropriate Margins. |

Upfront Margin to be maintained by cash. Considering collaterals is purely at the discretion of RLP. For Option Buying 100% premium to be maintained by cash. Additional Margins may be levied by us based on the volatility.

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 two days 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 withdraw the exposure limit of a client at any point of time, without any further notice, if there are any dues/margin shortages in the client's account or based on Market conditions or our internal policies.

All the Fund Transfers and collateral pledge under Margin Pledge and Re pledge (MPR) framework will be updated on a Real time basis. RLP shall not be responsible for any delay in allowing the limits in such cases. Exposure on updating the Cheques, shall be subject to clearance/ internal approval from senior management.

No additional exposure is required for squaring off of trades in Equity/Derivative open positions and the shares lying in client's Demat account supported with DDPI subject to EPI.

Apart from the Exchange Margins, RLP at its absolute discretion can set Margin requirement limits for every trade. Margin requirements are set based on our RMS policy and Market conditions.

For trades in Equity segment, Margin varies based on security and is available on the Trading platform.

For trades in the Derivative segment, Upfront Margin is calculated based on SPAN + Exposure margin, Additional margin, Delivery Margin and any other margin as stipulated by the Exchanges.

RLP reserves the right to block trades in any securities/ contracts, in Derivatives based on risk assessment or Surveillance parameters of RLP/Exchanges/Regulator or on PMLA guidelines, though such client position may be within Exchange position limits.

Single Order Quantity and Value Limit for Cash market segment and Derivative segment is fixed as per the client/dealer/AP based on their financials. Collaterals and trading pattern or as decided by the management from time to time and is also subject to Quantity limit/value limit specified by the Exchanges.

RLP reserves the right to activate/provide MTF facility to the clients.

In MTF, clients can hold Group I (a list published by exchange periodically) stocks available for trading in the F & O Segment, where in a single stock shall not exceed 10% of the total exposure of the client. In case of non-F&O stocks, single stock value shall not exceed 5% of total exposure of the client.

The maximum permitted MTF exposure to a single client shall not exceed 10% of total RLP exposure. MTF and collateral kept in the form of stocks needs to be well diversified.

No fresh trade will be allowed in banned securities/contracts. Any changes in the Risk and Settlement Policy shall be subject to the approval of senior management.

The Exposure limit available is always displayed on the trading terminal.

In case the Debit Balance in Client Account exceeds five trading Days, No fresh exposure will be allowed till such time the Account comes to Credit Balance.

- 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 a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid futures, options, far month options, writing of options, stocks in Trade for Trade, ASM/GSM/ESM/IBC etc. category and any other contracts / stocks which are extremely volatile or subject to Market manipulation. The term stocks include shares and Commodities.

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 branch / Authorized persons level. RLP may cancel orders in such shares received from clients before execution or after partial execution without assigning any reasons there off. RLP may take appropriate declarations from the clients before accepting such orders. RLP shall not be responsible for delay in execution of such orders any opportunity / financial loss to the client. RLP reserves the right to stop the payouts of the Client dealing in Penny Stocks/ unsolicited stocks / Any such shares notified by the Regulators from time to time.

- 2. 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.

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 an account. It shall be reviewed by us from time to time and may be increased with prospective effect at a notice of 15 days sent to the email address or postal address of the client registered with us.

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

- 3. 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 make pay in of funds towards Margin/Delivery to the Exchange by T+1 morning and arrange delivery of securities to the Exchange latest by T+1 morning.

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 obligations on the scheduled date in both Cash & F&O Segment, which is not funding in contravention of the applicable laws 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.

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 shortfalls in F&O Margin and for other reasons which may be defined by the Exchanges from time to time. RLP is therefore authorized by the client to pass on any penalty imposed by the Exchange/SEBI and or any regulatory authority to the client, which arises on account of the failure of commitment/Obligation of client which shall include bouncing of Cheque.

Any Penalty relating to upfront Margin/such penalty that is being prohibited by the Exchanges from being passed on to the Clients shall not be passed on to the Clients.

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

Margin alerts and debit mails shall be sent to the clients for shortage of required margin / debit by way of SMS/What's App Messages/Mails/flash on the terminals/Oral by way of telephone calls etc... Such messages/Alerts are sent on their Registered Mobile/E mail, the proof of sending such an alert is binding on the client and the client cannot dispute on Mobile Switch off/Mail not accessible etc. The same are also available on our Pass word protected Web Portal www.rlpsecurities.com

RLP is under obligation to full fill all the obligations of its clients on dynamic running market conditions to the Exchanges and it is under obligation to 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 Margins including MTM losses and additional margins as levied by the Exchanges and RLP on live basis from time to time, in case the clients are not able to fulfill their obligations, they will be termed default and RLP reserves the right to close out client's open positions, without giving notice 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. Further to confiscate and sell such client's collaterals / commodities deposited towards margins to recover the obligations. In addition where the sale proceeds of the collaterals are inadequate to cover the pay in obligations and the collaterals appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required. RLP may liquidate the securities available in our DP Supported with DDPI to the extent required to meet Obligations, based on the liquidity of the shares. Client shall not dispute on the same. It is not binding on us 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 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 RLP from time to time. While computing margin shortfall, un cleared may not be considered. RLP reserves the right to consider or not to consider or partially consider the collateral, such a discretion is as per the decision of the senior management based on the volatility and other factors.

Intraday Positions: RLP shall have right to close out any intra-day positions taken by the client after a defined "Cut off" time. While selling the securities / closing the client's positions, RLP may take into account the sales made by the client, positions closed by the client or collections received from the client till a cut off time. While selling the securities / closing the clients positions, RLP may not take in to consideration the cheques /drafts/ pay orders deposited by the client until clear proceeds of such instruments are received in our 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.

RLP 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. RLP 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 on account of Nonpayment of client dues/Margin obligations. The ultimate responsibility risk and liability of the trades are binding on the client.

Shares Pledged in CUSPA on account of Debit Balance of clients shall be liquidated to the extent of amount due, at any point of time after settlement pay-in time as per the guidelines stipulated by exchange and SEBI from time to time.

All such positions, if any taken during the banned period, shall be squared off at any point of time without further notice.

RLP shall attempt liquidating necessary positions security/Commodity hitting the daily price filter (circuit) to avoid any dues in client's account.

In case of Margin short fall in derivative positions and the security/commodity hitting the daily price filter Open positions that are not squared-off for reasons beyond the control of RLP -technical issues, price band etc. shall be squared-off in the immediate session thereafter or whenever the security/commodity/contracts is traded. Losses if any, arising on the square-off trades shall be borne by the client.

RLP reserves the right to square off existing positions if cheques received against these are dishonored.

RLP reserves the right to invoke/sell pledged shares/any other collateral to cover MTM losses. Covered losses above a specific percentage of MPR value/ a specific period will be cleared after intimation to clients & For uncovered losses, after the implementation of the above policy, recovery process - Demand Notice, Arbitration etc on the clients shall be initiated after a permitted period subject to loss amount and management decision

In case of Physically Settled Derivative contracts, current month FAO contracts need to roll over or arrange the Physical settlement obligations failing which the positions shall be closed out before five days prior to final settlement day, failing which RLP reserves the right to square off, such open positions.

5. Shortages In obligations arising out of Internal netting of trades:

Any shortages in securities pay in will be handled as per circular NCL/CMPT/66688 dated 4 Feb-2025 or any regulatory guidelines from SEBI/CC/Exchanges time to time.

The Clearing Corporation (CC) of respective stock exchanges will conduct auction for shortages. If securities are successfully obtained, CC shall allocate the securities in auction settlement to clients who did not receive their pay out in normal settlement. If a client does not receive the securities even after the auction, CC will close out such securities.

CC shall identify internal shortages and determine the valuation amount. The valuation price for internal shortages shall be based on the settlement price of the security and an additional 20% mark up or as specified by CC from time to time.

Accordingly, the close out proceeds provided from CC will be accounted in client's trading account.

6. 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 trading days, Where the client is not having adequate margins as per conditions defined in Risk Management Policy, 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 as required by the member or statute.

In Cash segment: 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 RLP. Clear proceeds of the cheque deposited by the client to meet the pay in obligations have not yet been received by RLP. Client is trading in "Illiquid securities" and volumes in his account exceed internal cut off limit fixed by RLP. RLP exposure at "house level" in a specific scrip / contract exceeds the internal limits fixed by it.

In Derivatives: Where the client has not met the Margin, Market to Market loss and Additional Margins as levied by the member 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.

For all such contracts in F&O, which end up with physical delivery at the end of expiry date, where the client does not maintain 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 contracts five days before the date of expiry or tender period or any such nearer date earlier than five days as decided by RLP, the client should square off such open positions, or else RLP reserves the right to square off such positions.

Intraday: Client may not be able to place intraday orders after a cut off time fixed by us.

7. Policy on Facility for voluntary freezing/ blocking the online access of the trading account on account of suspicious activities. (As per requirements of SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024)

In case any client availing Internet Trading observes any suspicious activity in his/her trading account, he/she should immediately send a request for voluntary freezing/ blocking the online access of trading account from their registered e mail ID/Mobile Number to our e mail ID stoptrade@rlpsec.com and SMS the message to +919347073369.

Upon verification and being satisfied about the genuineness of the request with the two factor authentication, we shall block the online access of the Trading Account within 15 minutes in case the request is received during the trading hours and within 15 minutes before the start of trading / before the start of the next trading session in case the request is received after the trading hours and 15 minutes before the start of the trading, after simultaneously cancelling all the Pending Orders. The limitation of 15 minutes blocking time starts from the completion of our validation.

This facility is only in case any suspicious trading and our satisfactory validation on the genuineness of the request with two factor Authentication as prescribed by the regulators from time to time.

Within one hour from the freezing/blocking of the trading account the communication on freezing/blocking and cancellation of the pending orders shall be intimated on the designated registered e mail Id/SMS on Mobile number along with the details of open positions (if any) along with contract expiry information.

The same shall be re-enabled only after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

On such a freeze being accepted, the client shall not construe from its open positions/Financial Liability and the client shall not dispute on the same.

In case of any dispute, the appropriate records/logs including, but not limited to, request received to freeze/block the online access of trading account, confirmation given for freezing/blocking of the online access of the trading account and cancellation of pending orders, if any, sent to the clients, shall be relied upon.

8. Policy for Good Till Cancel (GTC) Orders

This policy is prepared to be in line with NSE Circular No. 40/24 dated June 21, 2024 to mitigate the risk on placing GTC orders to protect the clients from absurd trades and protecting the investors from risk of facing losses from corporate action and any other price sensitive information.

- a) All Good till Cancelled/Good till Triggered orders enable clients to place buying and selling orders by specifying the price and also the time frame for which an order would remain valid for placing on the Stock Exchange platform.
- b) To mitigate the risk of corporate actions, we shall not allow GTC orders in Equity and stock Derivatives. If at all we allow, it would be for a very short period less than one month. The responsibility of monitoring cancellation, price reset, retaining, etc. for the unexecuted orders shall lie with the client, irrespective of the systems developed internally.
- c) In exceptional cases under the supervision of senior management contracts in Index/commodity index/Currency derivatives may be allowed subject to the owning of responsibility of handling of such orders in case of corporate actions and monitoring of cancellation, price reset, retaining, etc. for the unexecuted orders by the client irrespective of the systems developed internally. The maximum period for which such order can be placed shall be at the sole discretion of RLP.
- d) We may intimate the corporate actions if any before 48 hours, but it shall be binding on the clients to monitor the same and shall not dispute on the same.

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

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

- Where the client is inactive for more than 2 years
- Non-updating of KYC details Name, PAN, email id, mobile number, Address with OVD, Income Range, Bank details with KRA and KYC being on Hold.
- Multiple email id, mobile number, Address with OVD, Bank details etc without proper Rationale
- or if it is found to be belonging to the third person.
- Frequent surveillance Alerts
- Dealing in illiquid shares/contracts/single scrip/circular/Dabba trading etc as per the discretion of our RMS team
- 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.
- Non-delivery of contract notes or 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/ statement of accounts sent on periodic basis failed (Bounced email) on more than 3 instances until client submits and registers new email ID.
- On notices received from Regulatory, Statutory, government or local authorities and Income Tax, GST etc.
- Found to be suspicious as per the PMLA and FATF Regulation
- Closure period for particular ISIN for all the related parties.
- Where a client is reported to or known to have expired
- Any other reason, on non co operation/un warranted Dispute at the discretion of RLP.
- Written request from the client for freezing the Account
- Closure by client: Where client requests for closure through personal/post written Request/Online by Mail from designated E Mail Id/e KYC online closure facility or any other verifiable evidence, as prescribed by regulators from time to time.

10. Deregistering a Client:

RLP may deregister a client on the following circumstances:

- Any action taken by SEBI/NSE/BSE/NCDEX/MCX or being part of list of debarred entities published by SEBI.
- Where client appears to be litigant or Non co operative or fails to honor the commitments, Indulges in frequent Non compliances, such clients can be closed at the absolute discretion of RLP, with or without notice of 48 Hrs.
- On basis of information found in sites of CIBIL,
- Watch out Investors,
- Client having suspicious back ground,
- Link with suspicious organization etc.
- Serving a notice of 30 days without assigning any reason thereof.

A. RLP shall have the right to close out the existing positions: sell the collaterals in case of Debit Balances to recover its dues, if any, before de registering the client. Further we shall proceed legally to recover the dues

Investor Grievances:

In case of any disputes the same can be raised as per the procedure laid down by our Compliance Officer, Exchanges and SEBI, the procedure for the same is laid down in Investor charter.

(<https://drive.google.com/file/d/1iaMFBee6hfmAbyGIDJfgePJouzF2gVyM/edit>) available on our website: www.rlpsecurities.com.

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 |  |  |  |

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

| | | | | | | | | | | | | | | | | | |
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| 1 | 2 | 0 | 4 | 3 | 4 | 0 | 0 | | | | | | | | | | |
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(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

| | | | | | | | | | | | | | | | | | |
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| +91 | | | | | | | | | | | | | | | | | |
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(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 |  |  |  |

**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's 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's And Don'ts, 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

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Date:

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: _____



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.

F_____ S_____ 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.