

## ANNEXURE – 1 - INDEX OF DOCUMENTS

<b>A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
<b>S.N.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Pg. No</b>
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	2-17
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	18-19
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	20-24
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	25-28
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	29-30
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	31-34
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	35
<b>B. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
1.	Terms and Conditions	Terms and Conditions regarding mode of operations	36-39
2.	Running Account Authorisation	This letter is authorisation to maintain fund, securities on running account basis & for authorisation to receive contract as well other relevant documents.	40
3.	ECN Letter	This mandate is to authorisation to issue contract notes in digital mode. It provides terms and conditions for the issuance of digital contract note.	41
4.	Debit authorisation letter & Declaration for NRI/FN	This letter authorises DP to debit charges of demat account to trading account & Declaration under FEMA (if applicable)	42
5.	Letter for Operations of Account	This letter is for smooth functioning of account	42
6.	Authorisation for SMS/ E mail alert	Authorization to receive SMS & Email alerts from stock exchanges.	43
7.	Authorisation Letter	Authorization for smooth conduct of trading.	44
8.	Letter of Authority	Authorization from constituent to Broker smooth conduct.	45-46
9.	Client Defaulter Declaration	Declaration pertaining to not been declared as defaulter	46
10.	Declaration by partnership firm/ Format of Resolution	To be provided on letterhead of firm (if applicable)	47-48
11.	Letter for dealing in Mutual Fund Schemes - NSE Star MF	This letter is for dealing in units of Mutual Fund.	50-51
<b>C. DP SECTION:</b>			
1.	Checklist & DP FORM	Document captures checklist & additional information about the constituent relevant to DP account opening form along with Rights & Obligations.	52-56
2.	SMS Alert	This contains term & conditions regarding SMS alert facility	57-58
3.	Option Form for DIS	DIS booklet for PMS client.	59
4.	e-Statement of account	To receive statement of a/c. like holding/transaction/ledger/ bills/debit notes/credit note in electronic mode.	60
5.	DDPI	Authorisation for Payouts directly from DP account.	61-62
6.	HUF DECLARATION	Declaration for list of family members in HUF	63
7.	Schedule of Charges (CDSL)	Document detailing the charges levied on the client of various categories.	64
8.	FATCA	As per format	65-67
9.	Investor Charter	Services, Rights, DOs and DON'Ts for Investors, various activities of Stock Brokers with timelines & Grievance Redressal Mechanism	68-76
10.	Most Important Terms and Conditions	For non-custodial settled trading accounts	77
11.	Download Consent Form	Consent to download my KYC Records from the Central KYC Registry	77

AP: \_\_\_\_\_ UCC: \_\_\_\_\_

To be filled for entity  
Know Your Client (KYC)  
Application Form (For Non-Individuals Only)

Please fill this form in English & in BLOCK letters  
Fields marked \* are mandatory  
Fields marked \* are pertaining to CKYC and  
mandatory only if processing CKYC also

KYC Mode\*: Please Tick by Click on Box

Application Type\* ☐ NEW KYC ☐ Modification KYC



**MANDATORY**

**RRS SHARES & STOCK BROKERS PVT LTD**

Application Number: \_\_\_\_\_

Please tick by click of a BOX

Application Type\* ☐ NEW KYC ☐ Modification KYC

**1. ENTITY DETAILS (Please refer guidelines)**

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Date of Incorporation\* \_\_\_\_\_ Place of Incorporation\* \_\_\_\_\_

Date of Commencement\* \_\_\_\_\_ Registration Number\* \_\_\_\_\_

Entity Type\* ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership  
Please tick (✓) ☐ Trust/Charity/NGO ☐ HUF ☐ FPI Category I ☐ FPI Category II  
☐ AOP ☐ Bank ☐ Government Body ☐ Defence Establishment  
☐ Body of Individuals ☐ Society ☐ LLP  
☐ Non-Government Organization  
☐ Others \_\_\_\_\_

**2. Proof of Identity\* (Please refer the guidelines)**

☐ Officially Valid Document(s) in respect of person authorised to transact

☐ Certificate of Incorporation/Formation \_\_\_\_\_ ☐ Registration Certificate \_\_\_\_\_

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

☐ Board Resolution ☐ Power of attorney granted to its manager, office, employees to transact on its behalf

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

**3. Address Details\* (Please refer guidelines)**

**A. Registered Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

**B. Correspondence/Local Address in India (if different from above)\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Applicant Signature

(1)

**Proof of Address\*** (attested copy of any one POA to be submitted-#Not more than 3 months old)

- ☐ Certificate of Incorporation/Formation    ☐ Registration Certificate    ☐ Other document \_\_\_\_\_
- ☐ Latest Tel. Bill\* (Landline only)    ☐ Latest Electricity Bill\*    ☐ Latest Bank Account Statement
- ☐ Registered Lease/Sale Agreement of Office Premises    **Validity/Expiry Date of POA** (Expiry Date) \_\_\_\_ \_\_\_\_ \_\_\_\_
- ☐ Any other proof of address document (as listed overleaf) \_\_\_\_\_

**4. Contact Details\* (in CAPITAL)**

Email ID\* \_\_\_\_\_ Mobile No. \_\_\_\_\_

Email ID\* \_\_\_\_\_ Mobile No. \_\_\_\_\_

Tel. (Off.) \_\_\_\_\_ Fax \_\_\_\_\_

**5. Annexures Submitted**

Number of Related Persons \_\_\_\_\_

**6. Remarks/Additional Information****7. Applicant Declaration**

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

Date: \_\_\_\_\_ (DD-MM-YYYY)

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

Applicant e-SIGN

Not Applicable

Applicant Wet-signature

(2)  


First Director/Trustee/Partner

**8. For Office Use Only**

KYC carried out by\*

KYC Date \_\_\_\_\_

Emp. Name: \_\_\_\_\_

Emp. Code: \_\_\_\_\_

Emp. Designation: \_\_\_\_\_

Employee Signature and Stamp

☐ Self Certified document copies received (OVD)

☐ True Copies of documents received (Attested)

AMC/Intermediary Name or Code:

Pos Code:

**RRS SHARES & STOCK BROKERS PVT LTD**

**CODE:**

**IPV Stamp & Signature Required**

**MANDATORY****First Director/Trustee/Partner**

Know Your Client (KYC)

Annexure (For Non-Individuals Only)

Please fill this form in English &amp; in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**RRS SHARES & STOCK BROKERS PVT LTD**

Application Number: \_\_\_\_\_

CKYC Number: \_\_\_\_\_

Please tick by click of a BOX

Application Type\* ☐ NEW KYC ☐ Modification KYC**1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)**

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Father/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\* ☐ M- Male ☐ F- Female ☐ T-TransgenderNationality\* ☐ Indian ☐ Other \_\_\_\_\_

(3)

Applicant Photo

Related Person Type\*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Beneficial Owner☐ Others \_\_\_\_\_ (please specify) DIN: \_\_\_\_\_ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

☐ A - Aadhaar Card XXXX XXXX \_\_\_\_\_☐ B - Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ C - Voter ID Card \_\_\_\_\_☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ E - NREGA Job Card \_\_\_\_\_☐ F - National Population Register Letter \_\_\_\_\_☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\* (Please refer guidelines overleaf)**

A. Correspondence/Local Address\*

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

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

Applicant e-SIGN

Not Applicable



**B. Permanent residence address of applicant, if different from above A/Overseas Address\* (Mandatory for NRI applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

- ☐ A - Aadhaar Card XXXX XXXX \_\_\_\_\_
- ☐ B - Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ C - Voter ID Card \_\_\_\_\_
- ☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ E - NREGA Job Card \_\_\_\_\_
- ☐ F - National Population Register Letter \_\_\_\_\_
- ☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details\* (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile Number\* \_\_\_\_\_

Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_

**4. Applicant Declaration**

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

Date: \_\_\_\_\_ (DD-MM-YYYY)

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

Applicant e-SIGN

Not Applicable

Applicant Wet-signature

(4)  


First Director/Trustee/Partner

**5. For Office Use Only**

KYC carried out by\*

Intermediary Details\*

KYC Date \_\_\_\_\_

Emp. Name: \_\_\_\_\_

Emp. Code: \_\_\_\_\_

Emp. Designation: \_\_\_\_\_

☐ Self Certified document copies received (OVD)☐ True Copies of documents received (Attested)

Pos Code:

**RRS SHARES & STOCK BROKERS PVT LTD****CODE:**

Employee Signature and Stamp

Institution Name &amp; Stamp

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN Client Code Name  Gender  M  F  OType of address given at KYC KRA  Residential  Residential & Business  Business Place of Birth Country of Birth Nationality 

Gross Annual Income Details in INR	Below 1 Lakh	5-10 Lakh	25 Lakh - 1 Crore	Networth in INR in Lakhs Rs.: <input type="text"/> Net worth as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	1-5 Lakh	10-25 Lakh	> 1 Crore	

Occupation Details	Business	Professional	Public Sector	Housewife	Retired
	Private Sector	Government Service	Agriculturist	Student	Forex Dealer
	Others (Please specify) <input type="text"/>				

Politically Exposed Person (PEP)  Yes  Related to PEP  Not Applicable Are you a tax resident of any country other than India?  Yes  No 

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers &amp; type.

S. No.	Country of Tax Residency*	Tax identification Number/ # Functional Equivalent	Identification Type (TIN or Other, please specify)
1			
2			
3			
4			

\* To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA # In case Tax identification Number is not available, kindly provide its functional equivalent

**Declaration**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize **RRS Shares & Stock Brokers Pvt Ltd** to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to/any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental to statutory judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/ RBI/ IRDA/ PFRDA to facilitate single submission/update & for other relevant purposes. I also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize **RRS Shares & Stock Brokers Pvt Ltd** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

**Certification**

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**Signature**DATE        PLACE

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

To,

RRS Shares & Stock Brokers Pvt Ltd  
Mumbai

Dear Sir,

I \_\_\_\_\_ (name of the applicant) the undersigned, hereby undertake and declare that I do not have a separate email id/mobile number and request you to record the email id/mobile number of my \_\_\_\_\_ (relation) \_\_\_\_\_ (name of the family member) for Cdsl Bold \_\_\_\_\_ and trading UCC \_\_\_\_\_, as my email id/mobile number for all the future correspondence.

Yours faithfully,

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

Mobile No.: \_\_\_\_\_

**MANDATORY****Second Director/Trustee/Partner**

Know Your Client (KYC)

Annexure (For Non-Individuals Only)

Please fill this form in English &amp; in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**RRS SHARES & STOCK BROKERS PVT LTD**

Application Number: \_\_\_\_\_

CKYC Number: \_\_\_\_\_

Please tick by click of a BOX

Application Type\* ☐ NEW KYC ☐ Modification KYC**1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)**

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Father/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\* ☐ M- Male ☐ F- Female ☐ T-TransgenderNationality\* ☐ Indian ☐ Other \_\_\_\_\_

(5)

Applicant Photo

Related Person Type\*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Beneficial Owner☐ Others \_\_\_\_\_ (please specify) DIN: \_\_\_\_\_ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

☐ A - Aadhaar Card XXXX XXXX \_\_\_\_\_☐ B - Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ C - Voter ID Card \_\_\_\_\_☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ E - NREGA Job Card \_\_\_\_\_☐ F - National Population Register Letter \_\_\_\_\_☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\* (Please refer guidelines overleaf)**

A. Correspondence/Local Address\*

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

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

Applicant e-SIGN

Not Applicable

**B. Permanent residence address of applicant, if different from above A/Overseas Address\* (Mandatory for NRI applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

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- ☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ E - NREGA Job Card \_\_\_\_\_
- ☐ F - National Population Register Letter \_\_\_\_\_
- ☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details\* (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile Number\* \_\_\_\_\_

Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_

**4. Applicant Declaration**

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

Date: \_\_\_\_\_ (DD-MM-YYYY)

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

Applicant e-SIGN

Applicant Wet-signature

Not Applicable

(6)

Second Director/Trustee/Partner

**5. For Office Use Only**

KYC carried out by\*

Intermediary Details\*

KYC Date \_\_\_\_\_

Emp. Name: \_\_\_\_\_

Emp. Code: \_\_\_\_\_

Emp. Designation: \_\_\_\_\_

☐ Self Certified document copies received (OVD)☐ True Copies of documents received (Attested)

Pos Code:

**RRS SHARES & STOCK BROKERS PVT LTD****CODE:**

Employee Signature and Stamp

Institution Name &amp; Stamp

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN Client Code Name  Gender  M  F  OType of address given at KYC KRA Residential  Residential & Business  Business Place of Birth Country of Birth Nationality 

Gross Annual Income Details in INR	Below 1 Lakh	5-10 Lakh	25 Lakh - 1 Crore	Networth in INR in Lakhs Rs.: <input type="text"/> Net worth as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	1-5 Lakh	10-25 Lakh	> 1 Crore	

Occupation Details	Business	Professional	Public Sector	Housewife	Retired
	Private Sector	Government Service	Agriculturist	Student	Forex Dealer
	Others (Please specify) <input type="text"/>				

Politically Exposed Person (PEP) Yes  Related to PEP  Not Applicable Are you a tax resident of any country other than India? Yes  No 

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers &amp; type.

S. No.	Country of Tax Residency*	Tax identification Number/ # Functional Equivalent	Identification Type (TIN or Other, please specify)
1			
2			
3			
4			

\* To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA # In case Tax identification Number is not available, kindly provide its functional equivalent

**Declaration**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize **RRS Shares & Stock Brokers Pvt Ltd** to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to/any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental to statutory judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/ RBI/ IRDA/ PFRDA to facilitate single submission/update & for other relevant purposes. I also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize **RRS Shares & Stock Brokers Pvt Ltd** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

**Certification**

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**Signature**DATE        PLACE

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

To,

RRS Shares & Stock Brokers Pvt Ltd  
Mumbai

Dear Sir,

I \_\_\_\_\_ (name of the applicant) the undersigned, hereby undertake and declare that I do not have a separate email id/mobile number and request you to record the email id/mobile number of my \_\_\_\_\_ (relation) \_\_\_\_\_ (name of the family member) for Cdsl Bold \_\_\_\_\_ and trading UCC \_\_\_\_\_, as my email id/mobile number for all the future correspondence.

Yours faithfully,

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

Mobile No.: \_\_\_\_\_

**MANDATORY****Third Director/Trustee/Partner**

Know Your Client (KYC)

Annexure (For Non-Individuals Only)

Please fill this form in English &amp; in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**RRS SHARES & STOCK BROKERS PVT LTD**

Application Number: \_\_\_\_\_

CKYC Number: \_\_\_\_\_

Please tick by click of a BOX

Application Type\* ☐ NEW KYC ☐ Modification KYC**1. IDENTITY DETAILS of Related Person (Please refer guidelines overleaf)**

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Father/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\* ☐ M- Male ☐ F- Female ☐ T-TransgenderNationality\* ☐ Indian ☐ Other \_\_\_\_\_

(7)

Applicant Photo

Related Person Type\*

☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointed Official Proprietor☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Beneficial Owner☐ Others \_\_\_\_\_ (please specify) DIN: \_\_\_\_\_ (mandatory if the related person is Director)

Proof of Identity (POI) submitted for PAN exempted cases (please tick)

☐ A - Aadhaar Card XXXX XXXX \_\_\_\_\_☐ B - Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ C - Voter ID Card \_\_\_\_\_☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ E - NREGA Job Card \_\_\_\_\_☐ F - National Population Register Letter \_\_\_\_\_☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\* (Please refer guidelines overleaf)**

A. Correspondence/Local Address\*

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

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

Applicant e-SIGN

Not Applicable



**B. Permanent residence address of applicant, if different from above A/Overseas Address\* (Mandatory for NRI applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified**Proof of Address\*** (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

- ☐ A - Aadhaar Card XXXX XXXX \_\_\_\_\_
- ☐ B - Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ C - Voter ID Card \_\_\_\_\_
- ☐ D - Driving Licence \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- ☐ E - NREGA Job Card \_\_\_\_\_
- ☐ F - National Population Register Letter \_\_\_\_\_
- ☐ Z - Others \_\_\_\_\_ (any document notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details\* (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile Number\* \_\_\_\_\_

Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_

**4. Applicant Declaration**

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

Date: \_\_\_\_\_ (DD-MM-YYYY)

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

Applicant e-SIGN

Applicant Wet-signature

Not Applicable

(8)  


Third Director/Trustee/Partner

**5. For Office Use Only**

KYC carried out by\*

Intermediary Details\*

KYC Date \_\_\_\_\_

Emp. Name: \_\_\_\_\_

Emp. Code: \_\_\_\_\_

Emp. Designation: \_\_\_\_\_

☐ Self Certified document copies received (OVD)☐ True Copies of documents received (Attested)

Pos Code:

**RRS SHARES & STOCK BROKERS PVT LTD****CODE:**

Employee Signature and Stamp

Institution Name &amp; Stamp

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN Client Code Name  Gender  M  F  OType of address given at KYC KRA Residential  Residential & Business  Business Place of Birth Country of Birth Nationality 

Gross Annual Income Details in INR	Below 1 Lakh	5-10 Lakh	25 Lakh - 1 Crore	Networth in INR in Lakhs Rs.: <input type="text"/> Net worth as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	1-5 Lakh	10-25 Lakh	> 1 Crore	

Occupation Details	Business	Professional	Public Sector	Housewife	Retired
	Private Sector	Government Service	Agriculturist	Student	Forex Dealer
	Others (Please specify) <input type="text"/>				

Politically Exposed Person (PEP) Yes  Related to PEP  Not Applicable Are you a tax resident of any country other than India? Yes  No 

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers &amp; type.

S. No.	Country of Tax Residency*	Tax identification Number/ # Functional Equivalent	Identification Type (TIN or Other, please specify)
1			
2			
3			
4			

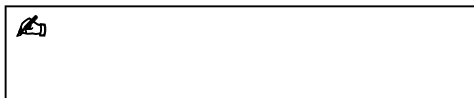
\* To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA # In case Tax identification Number is not available, kindly provide its functional equivalent

**Declaration**

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize **RRS Shares & Stock Brokers Pvt Ltd** to disclose, share, rely, remit in any form, mode or manner, all/any of the information provided by me, including all changes, updates to such information as and when provided by me to/any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental to statutory judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI/ RBI/ IRDA/ PFRDA to facilitate single submission/update & for other relevant purposes. I also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your/Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize **RRS Shares & Stock Brokers Pvt Ltd** to provide relevant information to upstream payors to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

**Certification**

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

**Signature**

DATE        PLACE

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

To,

RRS Shares & Stock Brokers Pvt Ltd  
Mumbai

Dear Sir,

I \_\_\_\_\_ (name of the applicant) the undersigned, hereby undertake and declare that I do not have a separate email id/mobile number and request you to record the email id/mobile number of my \_\_\_\_\_ (relation) \_\_\_\_\_ (name of the family member) for Cdsl Bold \_\_\_\_\_ and trading UCC \_\_\_\_\_, as my email id/mobile number for all the future correspondence.

Yours faithfully,

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

Mobile No.: \_\_\_\_\_

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by ones authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PID Card/OCI Card and overseas address proof is mandatory.
8. For foreign ones, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official etc.

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

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card.
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification/reference number if 'Z' - Others (any document notified by the central government) is ticked.
5. Others - Identity card with applicant's photograph issued by any of the following: Central/State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members and Credit cards/Debit cards issued by Banks.

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

- (\*Documents having an expiry date should be valid on the date of submission.)
1. POA to be submitted only if the submitted POI does not have an address or address as per POI is invalid or not in force.
  2. Others includes - Utility bill which is not more than 3 months old of any service provider (electricity,

landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India

3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FI/Sub account, Power of attorney given by FI/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/Flat maintenance bill/Insurance copy/Ration card/Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving License/Letter issued by NPR/NREGA job card

### D. Exemptions/clarifications to PAN

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

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

### E. List of people authorized to attest the documents:

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

### F. Online Mode Processing of KYC:

#### ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be digitally signed using DSC.
- Intermediary attestation on documents (OSV) is exempted.

Types of entity	Additional Documents Required over & above PAN, POI & POA
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary/whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>• Copy of Memorandum and Articles of Association and Certificate of Incorporation.</li> <li>• Copy of Board Resolution for Investment in security markets. • Authorized signatories list with specimen signatures.</li> <li>• Shareholding pattern.</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Certificate of Registration (for registered partnership firms only). • Copy of Partnership Deed.</li> <li>• Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners. • Shareholding pattern.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to financial years (to be submitted every year).</li> <li>• Certificate of Registration (for registered Trusts only). • Copy of Trust Deed.</li> <li>• List of Trustees certified by Managing Trustees/CA • Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF. • Deed of declaration of HUF or List of Co-parceners.</li> <li>• Bank Pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army/ Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>
<b>FPI Category I</b>	<ul style="list-style-type: none"> <li>• FPI Certificate • Constitution Documents</li> <li>• Copy of Board Resolution (optional) • Shareholding pattern and Ultimate Beneficiary Owners List (UBO)</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>FPI Category II</b>	<ul style="list-style-type: none"> <li>• FPI Certificate • Constitution Documents</li> <li>• Copy of Board Resolution • Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>

### Annexure

Details of Promoters / Partners / karta / Trustees and whole time directors forming a part of KYC Application Form for Non-Individuals

Name of Applicant: \_\_\_\_\_ PAN of the Applicant: \_\_\_\_\_

Name: _____	Signature across Photograph
Regd./Residential Address: _____	
Tel./Mobile No.: _____ DIN Number: _____	
Unique Identification Number(UID) / AADHAAR if Any: _____ (9)	
Relationship with Applicant: _____ PAN: _____	

Please tick, if applicable: ☐ Politically Exposed Person (PEP)  
☐ Related to a Politically Exposed Person (RPEP)  
☐ No

Name: _____	Signature across Photograph
Regd./Residential Address: _____	
Tel./Mobile No.: _____ DIN Number: _____	
Unique Identification Number(UID) / AADHAAR if Any: _____ (10)	
Relationship with Applicant: _____ PAN: _____	

Please tick, if applicable: ☐ Politically Exposed Person (PEP)  
☐ Related to a Politically Exposed Person (RPEP)  
☐ No

Name: _____	Signature across Photograph
Regd./Residential Address: _____	
Tel./Mobile No.: _____ DIN Number: _____	
Unique Identification Number(UID) / AADHAAR if Any: _____ (11)	
Relationship with Applicant: _____ PAN: _____	

Please tick, if applicable: ☐ Politically Exposed Person (PEP)  
☐ Related to a Politically Exposed Person (RPEP)  
☐ No

Name: _____	Signature across Photograph
Regd./Residential Address: _____	
Tel./Mobile No.: _____ DIN Number: _____	
Unique Identification Number(UID) / AADHAAR if Any: _____ (12)	
Relationship with Applicant: _____ PAN: _____	

Please tick, if applicable: ☐ Politically Exposed Person (PEP)  
☐ Related to a Politically Exposed Person (RPEP)  
☐ No

Name & Signature of the Authorised Signatory(ies)

Date \_\_\_\_\_

**A. BANK ACCOUNT(S) DETAILS (FIRST DETAILS WILL BE CONSIDERED AS DEFAULT)**

BANK ACCOUNT(S) DETAILS																																											
No.	MICR No.							Bank Name, Branch Add.	A/c Type	Account No.														IFSC Code																			
1																																											
2																																											
3																																											
4																																											
5																																											

Please provide Cancelled Cheque leaf for MICR &amp; IFSC Code

UPI Opt Flag ☐ Opted ☐ Not Opted**B. DEPOSITORY ACCOUNT(S) DETAILS (FIRST DETAILS WILL BE CONSIDERED AS DEFAULT)**

DEPOSITORY ACCOUNT(S) DETAILS																
Sr. No.	Depository Participant Name					DP ID No.				Client ID				Depository Name		
1*	RRS Shares & Stock Brokers Pvt. Ltd.					1	2	0	2	9	0	0	0	CDSL		
2														NSDL/CDSL		
3														NSDL/CDSL		
4														NSDL/CDSL		
5														NSDL/CDSL		

\*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. 1

**C. TRADING PREFERENCES**

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

Exchanges	NSE & BSE	NSE	
All Segments	Cash	F&O	SLB Segment
(13) 👉	(14) 👉	(15) 👉	(16) 👉

If you do not wish to trade in any of segments/Mutual Fund, please mention here \_\_\_\_\_.

If in future you want to trade on any new segment/new exchange separate authorization letter will be taken

**D. PAST ACTIONS**

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorised persons in charge of dealing in securities during the last 3 years: \_\_\_\_\_

**DEALINGS THROUGH AUTHORISED PERSON AND OTHER STOCK BROKERS**

If client is dealing through the authorised person, provide the following details:

Name				BSE SEBI Reg. No.	
Regd. Off.				NSE SEBI Reg. No.	
Address				Remisier/AP (BSE)	
				Remisier/AP (NSE)	
Signature		Tel. No.		Remisier/AP	
Rem/		Fax No.		Remisier/AP	
Sub Brk.		Website		Remisier/AP	

Whether dealing with any other stock broker/authorised person (if in case dealing with multiple stock brokers/sub-brokers, provide details of all)			
Name of Stock Broker		Name of Sub-Broker, if any	Client Code
Exchange			
Details of disputes/dues pending from/to such stock broker/authorised person:			
Pursuant to SEBI Circular dt. 3.8.2018, w.e.f. 1.4.2019 Sub-Broker has been migrated to Authorised Person			
<b>ADDITIONAL DETAILS</b>			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO			
Specify your Email id, if applicable:			
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): <input type="checkbox"/> YES <input type="checkbox"/> NO			
Number of years of Investment/Trading Experience:			
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others:			
Any other information			

<b>INTRODUCER DETAILS (Optional)</b>			
Name		Signature	
Add. / Tel.		I	
Status of the Introducer: Sub Broker / Remisier / Authorized Person / Existing Client / Others, please specify_____			

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

Client Name		Signature	(17)
Auth. Person			
Place	Date		
			First Director/Partner/Trustee

<b>FOR OFFICE USE ONLY</b>		
UCC Code allotted to the Client:		
Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name		
Signature		
Designation		
Employee Code		
Date		

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents.

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

**For RRS SHARES & STOCK BROKERS PVT LTD**

Date:\_\_\_\_\_ Signature of the Authorised Signatory Seal/Stamp of the stock broker

**RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS, AUTHORISED PERSONS AND CLIENTS**  
**AS PRESCRIBED BY SEBI AND STOCK EXCHANGES**

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

**CLIENT INFORMATION**

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

**MARGINS**

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

**TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the



client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

#### **BROKERAGE**

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

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

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

#### **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an 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.
- 36A. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - 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.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

#### **LAW AND JURISDICTION**

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

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

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person 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.

**RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS**

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

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

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

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

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

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

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

**1. BASIC RISKS:**

**1.1 Risk of Higher Volatility:**

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

**1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some

securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

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

**1.3 Risk of Wider Spreads:**

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

**1.4 Risk-reducing orders:**

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

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

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

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

**1.5 Risk of News Announcements:**

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

**1.6 Risk of Rumors:**

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

**1.7 System Risk:**

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

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

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

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination

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

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

**2.1 Effect of "Leverage" or "Gearing":**

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

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

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

**2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short

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

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

#### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

#### **4. GENERAL**

- 4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2** The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.



**GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.bseindia.com/](http://www.bseindia.com/) [www.nseindia.com/](http://www.nseindia.com/) [www.cdslindia.com](http://www.cdslindia.com) and SEBI website [www.sebi.gov.in](http://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.

This document outlines various policies and procedures framed and followed by RRS SHARES & STOCK BROKERS PVT. LTD. ("Stock Broker") with respect to its dealing with its clients and as a stock broker on National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE).

The policies and procedures as stated herein below are subject to change from time to time with the client's consent depending upon regulatory changes, its risk management framework, other market conditions, etc. which will be communicated to the member through a approved mode of communication with the clients consent.

The said policies and procedures which are subject to upgradation in the same from time to time are produced below for the benefit and notice of all our clients.

#### **A. Refusal of orders for Penny Stock and/or Illiquid Stocks**

In view of the risks associated in dealing with Penny Stocks and/or Illiquid Stocks, Stock Broker would generally advice its client to desist from trading in them. Further, SEBI, BSE/NSE or Stock Broker may issue circulars or guidelines necessitating exercising additional due diligence by the clients, for dealing in such securities.

Although, the term "Penny Stock" is not defined by BSE/NSE/SEBI, a "Penny Stock" generally refers to a stock whose characteristics include but are not limited to:

- Small market capitalisation;
- Trading at a price less than its face value;
- Have unsound fundamentals and or which may/may not be liquid (A list of illiquid securities is jointly release by NSE AND BSE from time to time.)
- Stock Broker recognises that it is the client's privilege to choose shares in which he/she would like to trade. However Stock Broker likes to pay special attention to dealing in "Penny Stocks". To this end.
- Stock Broker may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head - Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, Clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Client are expected not to place orders in penny stocks or it is liable to be rejected at the sole discretion of Stock Broker depending on prevailing market prices. Any such order is liable to be rejected at the sole discretion of Stock Broker.
- In case of sale of "Penny Stocks" clients should ensure the delivery of shares to Stock Broker depending on before the pay in date.
- Under no circumstances, Stock Broker shall be responsible for non-execution/delay in execution of such orders and consequential opportunity loss or financial loss to the client.

The above list of criteria is in indicative list. Stock Broker may at its sole and absolute discretion define from time to time other category/criteria to treat a security as Penny Stocks and / or Illiquid Stocks.

#### **B. Setting up client's exposure limits:**

While setting up the exposure limits for and on behalf of the clients, Stock Broker broadly takes in to consideration the regulatory requirement, client profile, internal risk management policy, market conditions, etc. Considering the said parameters the exposure limit for a client would be set up as follows.

- Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing market conditions and margin deposited by client in the form of funds/securities with Stock Broker. These limits may be set exchange-wise segment-wise, and scrip-wise.
- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales/ Sales traders.
- Stock Broker retains the discretion to set and modify, from time to time any client's exposure limit decided as above.
- Whenever any client has taken or wants to take an exposure in any security. Stock Broker may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the

Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, Stock Broker may refuse to trade on behalf of such client at its own discretion.

- In case of cash segment, Stock Broker may at its sole and absolute discretion allow clean exposure limit up to certain amount to the client without insisting for any credit balance and/or margin. The quantum of clean exposure limit shall be decided by Stock Broker. On case to case Stock Broker may, at its sole and absolute discretion, give higher clean exposure limits to certain set of clients. Stock Broker reserves the right to withdraw clean exposure limit granted to the client at any point of time as its sole and absolute discretion. The client cannot raise any concern/dispute for the same.
- The client will have to abide by the exposure limit set by Stock Broker

#### **C. Applicable Brokerage Rate:**

For rendering the broking services, Stock Broker charges brokerage to the client. The Brokerage rate will be as per the terms agreed with the client at the time of client registration.

- Brokerage Rate is mutually decided between the Stock Broker and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI/BSE/NSE and or Securities Contract Act and Rules or any other relevant statutes.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client and with the clients consent as per applicable laws, rules, regulations, circulars of SEBI / Exchange.

The brokerage will be exclusive of the following except in cases where it is agreed otherwise:

- GST
- SEBI/Exchange.
- Stamp Duty
- Statutory charges payable to BSE/NSE/SEBI/Govt. Authorities etc.

#### **D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period**

##### **(I) Imposition of Penalties**

BSE/NSE/Clearing Corporation/SEBI levies penalties on the broker for irregularities like short reporting penalty etc. during the course of business can be imposed on clients. Stock Broker shall recover such imposed penalties/levies, if any, by BSE/NSE regulator Clearing Corporation from the client which arise on the account of dealings by such client. Such recovery would be by way of debit in the ledger of the client and amounts would be adjusted against the dues owed by Stock Broker to the clients.

##### **(II) Delayed payment charges**

While dealing with Stock Broker it is a responsibility of the client to ensure that the required margin obligation or settlement obligation or any other dues payable to Stock Broker are paid within the time period stipulated by BSE/NSE or Stock Broker, whichever earlier.

In the event if the defaults in meeting its above said lawful obligations towards Stock Broker, Stock Broker shall have absolute discretion to charge and recover from the client's account, delayed payment charges at such rate (as communicated to client by a mode of communication he/she/they have preferred)/manner/interval (to be informed to clients).

Delayed payment charge is only a penal measure. The client should not construe it as funding arrangement. The client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.

The client will not be entitled to any interest on the credit balance/surplus margin available/kept with Stock Broker.

No interest or charges will be paid by Stock Broker to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorisations.

#### **E. The right to sell client's securities or lose clients' positions, without giving notice to the client, on account of non-payment of client's dues limited to the extent of settlement/margin obligation**

RRS SHARES & STOCK BROKERS PVT LTD shall have the sole discretion to square off the open position of the Client and/ or sell clients' securities (including securities maintained as margin with RRS SHARES & STOCK BROKERS PVT LTD and securities lying in client's beneficiary/ demat account) in case the Client fails to meet its settlement/ margin obligations in time. The specific securities to be sold and the positions to be squared off shall be decided solely by RRS SHARES & STOCK BROKERS PVT LTD. Further, the square off of client's open position or the selling

of securities may be executed on best effort basis on such Exchanges and at such price as may be decided by RRS SHARES & STOCK BROKERS PVT LTD. RRS SHARES & STOCK BROKERS PVT LTD shall have no obligation of communicating the same to the Client. RRS SHARES & STOCK BROKERS PVT LTD shall not be responsible for any losses, delays, brokerage, other charges, margin shortfall penalties etc. incurred by the Client due to such squaring off of the open position of the client.

RRS SHARES & STOCK BROKERS PVT LTD reserves the right to square off client's open positions or sell clients' securities under following circumstances:

- (i) Where the limits given to the Client have been breached.
  - (ii) Where the Client has defaulted on their existing obligation and / or had failed to make payments / deliver securities to GFPL within the stipulated time period.
  - (iii) Where the margin or security placed by the Client with RRS SHARES & STOCK BROKERS PVT LTD falls short of the applicable minimum margin as may be required to be maintained by the client.
  - (iv) Where Mark to Market Loss on the open position has reached 80 % of the margins placed with RRS SHARES & STOCK BROKERS PVT LTD and the Client(s) have not taken any steps either to replenish the margin or reduce the Mark to Market Loss.
  - (v) if the open position is neither squared off nor converted to Delivery by Client(s) within the stipulated time.
- RRS SHARES & STOCK BROKERS PVT LTD shall not be hold responsible for any losses, brokerage, other charges, margin shortfall penalties etc.

**F. Shortages in obligations arising out of internal netting of trades:**

- To determine the net obligation of a broker/trading-cum-clearing member (for securities and funds) in a settlement, clearing house does the netting of trades at the broker level. It is possible that a broker's net obligation towards clearing house may be nil but because of default by one or more clients in satisfying their obligations towards the broker, the broker internally might have shortages in fulfilling its obligation towards the other client(s). In such a situation, Stock Broker shall endeavor to collect the securities from the selling client and delivery it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to delivery the securities within 48 hours, then Stock Broker shall attempt to purchase the securities from the market and deliver it to the purchasing client. If Stock Broker is unable to obtain the securities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip and the closing amount will be credited to the purchasing client and same will be debited to the selling client.
- In case of shortage in meeting the settlement obligation, either party shall endeavor to make good such shortage through securities / value of shortage as per the Rules, Regulations any Bye-laws of the respective stock exchange(s).

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

Stock Broker shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with Stock Broker.
- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchanges or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- stock Broker has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the market are closed.
- Failure by the client in providing sufficient/adequate margin(s) and/or insufficient/inadequate free credit balance available in clients broking account with Stock Broker.

**H. Temporarily suspending or closing a client's account based at the client's request**

RRS SHARES & STOCK BROKERS PVT LTD may suspend or close the trading account of the Client pursuant to SEBI

or any other Regulatory directive for such period as may be prescribed by the respective Regulator.

RRS SHARES & STOCK BROKERS PVT LTD may further at its sole discretion and with/without information to the client, prohibit or restrict or block the Client's access to the use of the web site or related services and the Client's ability to trade due to market conditions and other internal policies including policy with respect to prevention of money laundering.

Trades in the account of the client during the period of such temporary closure/ suspension shall not be permitted. Notwithstanding any such suspension/ closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure/ suspension shall continue to subsist and binding on the client.

Client can initiate temporary closure of its account at any time by giving a request to GFPL in writing 15 days in advance. However, such closure will be affected subject to clearance of all dues and settlement obligations by the client. In case the account has been temporarily suspended at the request of the client, the account shall be reactivated only on submission of a written request for reactivation by the client.

#### **I. Deregistering a Client**

Stock Broker may, at its sole and absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock Broker may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline or circular governing securities market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare his/her/its as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock Broker or may act as detriment to Stock Broker prospects.
- Under no circumstances, any action taken by Stock Broker in any of the above circumstances till the date of re-registration shall be challenged by the client and Stock Broker shall not be liable to the client for any loss or damage (actual), which may be caused to the client as a result.

#### **J. Policy for Inactive clients**

- Any client who has not traded in any segment of NSE with Stock Broker for last one year calculated from the beginning of every financial year then such client would be termed as a Dormant/Inactive Client.
- The broking account of such client shall be deactivated/suspended temporarily by the Stock Broker. If the client wants to activate the broking account then a request for reactivating the broking account should be sent in writing. Such request for reactivation should be accompanied along with such documentary evidence as may be specified by Stock Broker from time to time.
- If the client is tagged as a Dormant/Inactive client, then the funds/securities lying with Stock Broker may be refunded/returned to the clients at his/her/its last known bank account/DP account or send at last known address of the client as per Stock Broker record.

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(Signature of the constituent)

# TARIFF SHEET

**MANDATORY**

CASH SEGMENT					
	Trading			Delivery	
	Minimum Rs.	Percent		Minimum Rs.	Percent
		1st side	2nd Side		
General Rates	15 rupees	0.10 %	0.10 %	30 rupees	0.50 %
Special Rates					

EQUITY FUTURES					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	0.10 %	0.10 %	0.10 %	0.10 %	0.10 %
Special Rates					

EQUITY OPTION					
	Same Day			Any Day	
	Minimum Rs.	Percent		Minimum Rs.	Percent 2nd Side
		1st side	2nd Side		
General Rates	100 rupees	1.0 rupee	1.0 rupee	1.0 rupee	0.25 %
Special Rates					

	NSE/BSE Cash	NSE F&O	NSE SLB
Transaction charges	Rs. 3.25 / Lac Rs. 2.00 / Lac	Rs. 1.90 / Lac in Futures Rs. 50.00 / Lac in Options	2.50%
Sq. up Stamp Duty	Rs. 2.00 / Lac	Rs. 2.00 / Lac	N.A.
Del. Stamp Duty	Rs. 10.00 / Lac	N.A.	N.A.
STT	Actual	Actual	N.A.
GST as Applicable	as applicable	as applicable	N.A.

(19)



Client's Signature

Authorised Signatory

X

Signature of Authorised Person

## DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003

RRS SHARES & STOCK BROKERS PVT LTD caters to Institutional, Corporate, High net-worth and other retail clients through membership of various exchanges. RRS SHARES & STOCK BROKERS PVT LTD besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted"  
For RRS SHARES & STOCK BROKERS PVT LTD

(20)



Director/Authorised Signatory

Client's Signature

First Director/Partner/Trustee

## TERMS AND CONDITIONS

### VOLUNTARY

#### 1. Authorisation for collection of AMC in respect of Demat A/c:

Client authorise RRS to debit Annual Maintenance Charges and all transaction charges payable by it in respect its Demat A/c with RRS to the broking account of the Client in any of the segments.

#### 2. POA/DDPI for Demat Account:

The Client agrees, on being requested by RRS, to open one or more Demat accounts with any Depository Participants designated by RRS and to execute a Power of Attorney/DDPI in favour of RRS authorising it to operate such Demat accounts on behalf of the Client including to sign and issue Delivery Instruction Slips to transfer securities from the Demat account towards settlement/margin obligations of the Client and to pledge, sell, or dispose of otherwise, the securities given for margin.

#### 3. Authorised Representatives: (In case of Non-Individuals only)

Any replacement of authorised representative shall be made by revoking the POA/DDPI/letter of authority executed in favour of the authorised representative and executing a new POA/DDPI or letter of authority in the manner above granting powers to the new Authorised representative and by no other means. If the Client executes a POA/DDPI or a letter of authority in favour of a person without revoking the POA/DDPI or letter of authority earlier executed in favour of another person, RRS may regard all such persons as authorised representatives of the Client.

#### 4. Manner and Mode of placing orders/instructions:

The Client may communicate orders and other instructions to RRS or the sub-broker/authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through email, or by personally visiting the designated office. Client may use any one or more of these means for placing orders.

#### 5. Non-execution/delay/cancellation of Orders:

The client hereby agrees that RRS or the Exchanges shall not be liable for non-execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of RRS or the Exchange RRS does not guarantee cancellation or modification of any order requested by the Client. The order may be cancelled/modified only if the Client's request for cancellation/modification is received on time. i.e., during the pendency of the original order intended to be cancelled/modified and the original order is successfully cancelled/modified before it is executed.

#### 6. Client to furnish additional information:

Client agrees and undertakes to furnish to RRS such additional information as may be necessary under the Rules, Regulations and Byelaws of the Exchanges, SEBI as may be in force from time to time or as may be required by any judicial, statutory, investigating, local or other authority, immediately on RRS making a request on the Client.

#### 7. Pay-in of Funds & Securities:

RRS will receive and pay funds/securities only from/to the Bank a/c and the Demat a/c given by the Client in the Client registration form or from/to the A/cs subsequently in writing notified by the Client and accepted by RRS. RRS reserves the right not to accept funds/securities from Banks/Demat accounts other than those informed to RRS and RRS shall not be liable for any loss that may be occasioned due to RRS declining to accept funds/securities from unregistered accounts.

#### 8. Disclosure as to Proprietary Trades by RRS:

RRS may carry out proprietary trades in addition to trades on behalf of its Clients.

#### 9. Client's declaration: Client declares that:

- a) It is conversant with relevant laws, trade practices, rules, regulations, guidelines, circulars etc. prescribed by SEBI, the Stock Exchanges and other competent authorities in relation to trading and transactions in the Securities Market and matters incidental or ancillary thereto and undertakes to acquaint itself with any modifications/ changes brought about therein from time to time.
- b) It shall not give any third party shares or cheques in discharge of its settlement obligations.
- c) It will not indulge in any manipulative, fraudulent and/or unfair trade practices including but not limited to trades such as synchronised deals, structured deals, circular trading in the capital market and futures and option segments.



10. In the event Client is found to have indulged in any manipulative, fraudulent and/or unfair trade practice or to have committed a breach of the applicable laws, regulations, guidelines, Bye-laws, by acts or omissions, whether directly or indirectly, Client shall be held solely liable for the legal and financial consequences thereof which may include penalties, restrictions or prohibitions or such other actions by appropriate authority.

**11. Severance:**

In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.

**12. No Waiver:**

No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specified agreed in writing.

**13. Electronic Contract Note (ECN):**

The Client understands that it can have Contract Notes for the trades executed delivered by RRS in Electronic/ Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorising RRS in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent. For availing of this service, the Client shall sign and issue a mandate in the prescribed form authorising RRS to issue Contract Notes in digital form instead of in physical form. Client understands and agrees that delivery of Contracts Notes in digital form shall be subject to the following terms:

- (i) The Client shall access and verify the ECN and all information contained therein shall be binding, if the Client does not raise any objections as to the accuracy of its contents or notify any discrepancy therein, either in writing or via E-mail, preferably within 24 hours the ECN is received. The Client will be required to save/print/download the ECN for archiving and delete the e-mails from his e-mail account on a regular basis so as to keep sufficient space in the e-mail account to continue receiving ECN from RRS. The ECN shall be deemed to have been delivered to the Client, if RRS does not receive a rejection or bounced mail notification.
- (ii) RRS shall also publish the Contract Note on the Web site [www.rrs.in](http://www.rrs.in) or on any other designated location specified by RRS from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. The Client shall take all necessary steps to ensure clauses hereinafter contained governing user name and password for facilitating net banking services through the Electronic Payment Gateway shall mutatis mutandis apply to the use of Login Name and Password allotted to the Client for accessing ECN on the website of RRS.
- (iii) Should the Client experience any difficulty in opening the ECN, RRS may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy).

**14. Electronic Transmission of other Documents:**

The Client agrees that RRS may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls and other notices/communications in electronic mode either at the e-mail ID designation for delivery of ECN or to the mobile number of the Client or both and, by so transmitting, RRS shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies, if any, in the ECN should be brought to the notice of RRS within preferably 24 hours of issuance receipt of ECN.

**15. Electronic payment Gateway for Net Banking Services:**

RRS may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with RRS. Client understands that RRS is only providing access to the electronic fund transfer facility provided by the banker of the Client through RRS's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make RRS a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that RRS's liability shall at all time be limited to the amount actually

received in its account by electronic transfer from Client's account with the Bank.

**16. Internet / Wireless Technology based Trading facility:**

RRS offers Internet and mobile trading facility for transaction in securities on the concerned Exchanges (hereinafter referred to as "the Internet/Wireless Trading system") through Exchange approved software. The Client can route its orders to RRS over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail such Trading facility provided by RRS by complying with the formalities prescribed therefor.

**16.1** Username and Password: On opting to avail Internet/Wireless Trading facility, the Client shall be provided a username and password transmitted to it over email at the designated email ID which will enable it secured access to RRS's Trading facility.

**16.2** The Client is aware that the initial password is System generated and agrees and undertakes to immediately change it upon receipt. The Client understand that the initial and subsequent passwords are not known or available to RRS.

**16.3** The Client agrees and undertakes:

- (i) To download the software required for Internet/Wireless Technology based Trading facility on to the Computer or Mobile as the case may be from RRS's Website using the specified URL.
- (ii) To use compatible computer hardware/mobile and system software and/or upgrade them to compatible versions for Internet/Wireless Technology based Trading facility software to function satisfactorily.
- (iii) To commit the password to memory and not to record it in any written or electronic form;
- (iv) Not to let any unauthorized person gain access to the computers or leave the computer unattended while remaining logged on to the internet/wireless trading system and to log off from the Internet/Wireless Trading System as and when the trading session ends;
- (v) To change the password at frequent intervals;
- (vi) To notify RRS if it receives inaccurate information regarding the account balances, investment products position or transaction history, or notices such other discrepancies in the account that might be attributable to unauthorized access.

**16.4** Client to change Password: If the Client is unable to change the Password by reason of the Client having forgotten the Password or the Password having been unauthorizedly changed by some other person or for any other reason, then the Client shall immediately request RRS in writing to discontinue the old Password, and thereupon, RRS shall deactivate the old Password and communicate to the Client a new system generated Password.

**16.5** Clients opting for Internet/Wireless Trading Facility to compulsorily opt ECN: If the Client elect to transact using Internet / Wireless facility, it shall compulsorily opt for receiving contract notes electronically (ECN) and comply with the formalities required for ECN and also notify its mobile number to RRS. If unable to open any of the documents, it shall inform RRS and follow advice given by RRS to resolve the problem.

**16.6** Non-usage of Internet/Wireless Trading facility: if the Client does not use the Internet/Wireless Trading facility for a continues period of 3 months or such other period as RRS may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of RRS.

**16.7** The client understands and agrees that RRS has different product versions of the Internet Trading/Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product version that it may choose while signing these documents. The client also understands and agrees that depending on the trading activity of the client, RRS shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/ Wireless Trading facility.

**16.8** Orders of Client subject to review by RRS: The Client agrees that the RRS may, at its sole discretion, subject any order placed by a Client through the internet/wireless trading system to manual review any entry, which may cause delays in the processing of the Client's order or may result in rejection of such order.

**16.9** Copy Righ/Internet/Trading/Wireless Technology: The Client agrees that the software underlying the Internet Trading/Wireless Technology System which is required for accessing the Internet Trading/Wireless Technology facility are the legal property of RRS and the Client shall not attempt to modify, translate,

disassemble, decompile or reverse engineer the software underlying the service. The permission given by RRS to the Client to use the Internet Trading/Wireless Technology System shall not convey any proprietary/ownership rights in the above software to the Client.

**17. Data Security and maintenance of equipments:**

The use and storage of any information including, without limitation, the passwords or digital signatures, portfolio information, transaction details, account balances and any other transaction details or trade information as the case may be on the Client's personal computer is at the Client's own risk and is the Client's sole responsibility. Client is also responsible for maintenance and upkeep of the personal computer, modem, communication equipment and telephone or other services required for accessing and using the internet trading facility of RRS and for all communications service fees and charges incurred by the Client in that connection.

**18. Extra Ordinary Events and termination/suspension of trading facility:**

RRS will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond RRS's control, resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any RRS may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

**19. Remit Funds payout electronically into client's bank account:**

Notwithstanding anything contained in these documents and without prejudice to the rights and obligations of the parties interse, the Client, hereby agrees and authorises RRS to transfer funds due for payment to the Client through Net Banking/EFT/RTGS/NEFT for the credit of designated bank account(s) of the Client details of which are given by it to RRS. Client shall also give RRS a cancelled cheque leaf of the designated Bank account for this purpose. Client agrees that it shall not hold RRS liable if any fund is credited to wrong account(s) as a result of Client providing incorrect account details to RRS. RRS reserves the right to reject request of the Client for electronic fund transfer or to discontinue the facility without assigning any reason. The Client also understands and agrees that RRS shall not be responsible for any delay/failure in transmission of electronic payout of funds due to any reason beyond its control and undertake to not hold RRS liable in this regard.

**20. SMS Alert facility by CDSL:**

If the Client opens Demat A/c. with RRS and agrees to receive the SMS Alert from CDSL, the Client agrees to the following terms and conditions of CDSL:

- i. The client who wished to avail the SMS Alerts facility provided by the depository on mobile number provided in the registration form is subject to the terms and conditions mentioned below.
- ii. Also consents to CDSL providing to the service provider such information pertaining to account/transaction in his/her account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.
- iii. The client 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.
- iv. The client is also 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.

**21. Mandate for CDSL BO A/c :**

I authorise you to send my purchased securities to my CDSL BO A/c opened with RRS Shares & Stock Brokers Pvt Ltd. and mark my present Demat A/c as inactive for sending pay out of securities. You are authorised to change my master particulars in trading account demat particulars without my authentication.

(21)

Client's Signature  \_\_\_\_\_

For **RRS SHARES & STOCK BROKERS PVT LTD.**

**Authorised Signatory**

To,

In order to facilitate operations of my/our trading account opened, I/We would like to authorise RRS SHARES & STOCK BROKERS PVT LTD to maintain running account, instead of settlement to settlement clearance of funds due to me/us.

1. I/We hereby give my/our consent to maintain a running balance in my account and retain credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct /revoke you otherwise.
2. I/We request you to settle my fund account as below: (Tick on appropriate option)

☐ Monthly ☐ Quarterly

3. As per the SEBI and Exchanges circulars, the settlement of running account of funds of the client shall be done by the trading member after considering the End of the day (EOD) obligation of funds as on the date of settlement across all the Exchange on first Friday of the Quarter/Month. If first Friday is a trading holiday, then such settlement shall be done on the previous trading day. For clients, who have opted for Monthly settlement, running account shall be settled on first Friday of each month. If first Friday is a trading holiday, then such settlement shall happen on the previous trading day.
4. I/We having credit balance and have not done any transaction within the 30-calendar day since the last transaction, the credit balance shall be returned to me/us, within next three working days or prescribed time limits irrespective of the date when running account was previously settled.
5. In case where I/ we and I have traded within 30 calendar days and there is outstanding trade position at the end of First Friday (or previous day in case of a holiday) of the Month/Quarter on which settlement of running account of funds is scheduled, a RRS SHARES & STOCK BROKERS PVT LTD may retain funds in the manner specified below:
  - i. Entire pay-in obligation of funds outstanding at the end of day (EOD) on date of settlement, across all segment. 50% of end of the day (EOD) margin requirement as cash margin, excluding the margin on consolidated crystallized obligation/MTM.
  - ii. Apart from above, 225% of EOD margin (which include additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the client by way of 'margin pledge' created in the Depository system for the purpose of margin (after applying appropriate haircut). The margin on consolidated crystallized obligation/MTM. The margin liability may also include the margin collected as per the risk management policy.
  - iii. Apart from 50% cash margin mentioned in point ii above, member may also retain 225% of EOD margin (which includes additional 125% margin) reduced by 50% cash margin and the value of securities (after applying appropriate haircut) accepted as collateral from the clients by way of 'margin pledge' created in the Depository system for the purpose of margin and value of commodities (after applying appropriate haircut). The margin liability shall include the end of the day margin requirement in all the segments across exchanges excluding the margin on consolidated crystallized obligation/ MTM. The margin liability may also include the margin collected by the Member from their clients as per the risk management policy and informed to the clients.
6. Client accounts which are due for settlement in the last month or quarter shall be settled on the date of settlement.
7. I/We confirm you that I/We shall to your notice, any dispute arising from the statement of account or settlement so made, in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at registered office.
8. I/We confirm that the above-mentioned authorization shall continue until it is revoked by me/us. I/We confirm having read the above circular and this running account authorization.

Yours faithfully, (22)

Signature of Client:  \_\_\_\_\_

Name of the Client: \_\_\_\_\_

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

## ECN AUTHORISATION

VOLUNTARY

From: \_\_\_\_\_

\_\_\_\_\_

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

To,

Dear Sirs,

**Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail**

I / We hereby agree and consent to accept the contract notes for transactions carried on by us/me on BSE/NSE with you, in terms of the agreement entered into between us/me, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes in digital form between us :-

1. Digital Contract Notes in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.  
You can also send me/us my/our margin statement in digital form with contract notes.
2. I / we undertake to check the contract notes and bring the discrepancies to your notice. My /our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: grievance@rrs.in
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an quarterly interval. If the client intends to view the digital contract notes for a period prior to 90 days client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time.
10. Digital Contract Notes will also be available at our Web-site: rrsshares.com
11. Any change in the E-mail ID shall be communicated by us / me through a physical letter.
12. Non receipt of bounced mail notification will amount to delivery of contract note.

**Other Communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.)**

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID \_\_\_\_\_

My/Our Alternative E-mail ID \_\_\_\_\_

Yours faithfully,

(23)



(Signature of First Director/Partner/Trustee)

Client Code : (customer ID)

**AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES****VOLUNTARY**

To,  
**RRS SHARES & STOCK BROKERS PVT LTD**  
24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

Dear Sirs,

This is to inform that

- a. I/We have a beneficiary account with RRS SHARES & STOCK BROKERS PVT LTD (DP) & with client id 12029000-00 \_\_\_\_\_.
- b. Further I/We have a trading account with RRS SHARES & STOCK BROKERS PVT LTD (trading code as mentioned below) for investment and trading purpose.
- c. I/We find it extremely inconvenient to give cheques against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with RRS SHARES & STOCK BROKERS PVT LTD for the debit charges payable to RRS SHARES & STOCK BROKERS PVT LTD

As Depository Participant for providing depository services. Any such sum debited to my/our account shall be binding on me/us.

Yours faithfully,

Signature of First Director/Partner/Trustee <sup>(24)</sup> \_\_\_\_\_

Name of the Client \_\_\_\_\_

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

**FOR NRI / FN****VOLUNTARY**

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

Address: \_\_\_\_\_

**TO WHOMSOEVER IT MAY CONCERN**

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my/our accounts with the Indian Bank/s, members of Indian Stock Exchange/s, and Depository Participants, I/We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my/our status from Resident to Non-resident or vice versa, I/We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transition.

Signature of First Director/Partner/Trustee

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

**SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK EXCHANGES**

(Ref: SEBI circular No. CIR/MIRSD/15/2011 dated August 02, 2011)

**VOLUNTARY**

I request you to enroll me for the following facility offered by the Stock Exchanges pursuant to above referred SEBI circular

☐ SMS Facility on Mobile No provided in my KYC

1. Mobile No Belongs to ☐ Self ☐ Family Member

2. In case of family member please specify the relationship:

☐ Dependent Child ☐ Dependent Parent ☐ Spouse

3. PAN No. of the family Member whose Mobile No is provided above:

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☐ Email Facility on email Id provided in my KYC

1. Email ID Belongs to ☐ Self ☐ Family Member

2. In case of family member please specify the relationship:

☐ Dependent Child ☐ Dependent Parent ☐ Spouse

3. PAN No. of the family Member whose Email ID is provided above:

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**Note:**

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse
2. Non Individual client shall provide the Mobile/Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/employees of TM/Sub broker/authorised person are not permitted for receiving the SMS/Email communication from exchanges
4. Client may note that the circular is available for download on the exchange's website.

(25)

Signature of First Director/Partner/Trustee: 

**LETTER FOR AUTHORISED SIGNATORIES - ALL EXCHANGES****VOLUNTARY**

To,

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound, 114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

**Re: Letter for authorized signatories**

Kindly find below a list of authorized signatories to represent us, their authority including but restricted to

1. Placing/modifying/cancelling orders on our behalf
2. Acknowledging contract notes issued by you to us for our trades
3. All other communications from us to you

Name of the signatories

Signature

Relation, if any

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

(26)

  
Client Signature

## AUTHORISATION LETTER

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114,  
Raja Bahadur Compound, 114, Ambalal  
Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

**Re: Letter for Authorised Signatories**

Kindly find below as list of authorized signatories to represent us, their authority but restricted to :

1. Acknowledging contract notes issued by you to us for our trades.
2. All other communication from your good self to me / us.
3. I/ We also authorize you to debit the necessary demat charges from time to time.
4. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.

S. No.	Name of the Signatory	Signature	Relation, if any

Thanking you,

(27)

Signature of the Client:  \_\_\_\_\_

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



## LETTER OF AUTHORITY

VOLUNTARY

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

### RRS SHARES & STOCK BROKERS PVT LTD

24/B, Raja Bahadur Mansion-II, 114,  
Raja Bahadur Compound, 114, Ambalal  
Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

Sub: Letter of Authority -Cash/F&O/Currency / Mutual Fund Segment of NSE

I/We are dealing in securities with you at NSE in Cash, F&O, Currency & Mutual Fund in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorise you not to provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner for meeting / pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf.
5. I/ We request you to retain Securities in your Demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/ We am/are getting required details from contracts issued by you.
7. I/We request that you may send/despatch me/us contract notes other documents through

E-mail Id : \_\_\_\_\_

We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute the same.


8. I/We will inform you the change my/ our my e-mail, if any, in future either by regd. post or through a digitally signed e-mail.
9. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/ We agree that I/ We shall be fully liable and responsible for any such problems / fault.
10. I/We confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
12. I/We am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.

13. All fines/penalties and changes lived upon you due to my acts/deeds or transactions may be recovered by you from my account.

14. I/We have a trading as well as depository relationship with ..... Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.

Thanking you,

Yours faithfully,

Signature of the Client: (28) 

Name of the Client:

Client Code:

**VOLUNTARY**

#### CLIENT DEFAULTER DECLARATION

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

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114,  
Raja Bahadur Compound, 114, Ambalal  
Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

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

Thanking you,

Yours faithfully,

Signature of the Client: (29) 

Name of the Client: \_\_\_\_\_

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

## Declaration to be given by partnership on Letter head of the firm

FORMAT

Date:

To,

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,

114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

Dear Sir,

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partner of the firm.

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

We hereby authorize \_\_\_\_\_, partner in the firm to execute / sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with **RRS SHARES & STOCK BROKERS PVT LTD** and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (In Block Letters)	Signatures

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS OF \_\_\_\_\_ AT THEIR MEETING HELD ON \_\_\_\_\_.

RESOLVED THAT the Company do place orders with/give instructions to **RRS SHARES & STOCK BROKERS PVT LTD** for investment in securities market/dealing in Equities/Derivatives & other products in Derivatives & cash segment of BSE Limited (BSE) & National Stock Exchange of India Limited (NSE) & Central Depository Services (India) Limited (CDSL).

RESOLVED FURTHER THAT any one of the following Directors/Executives/Officers of the Company, whose specimen signatures are appended here under.

No.	Name of Authorised person	Designation	Specimen Signature

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, instructions letters, notes, contracts, share transfer forms and such other documents as may deemed necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effects to the above resolution from time to time.

RESOLVED THAT Mr/Ms. \_\_\_\_\_ and / or \_\_\_\_\_. Authorised Signatory of \_\_\_\_\_ (the Company) whose specimen signatures are attested below be and are hereby authorised to sign, execute and submit applications, undertakings, agreements and other requisite documents as may deemed necessary for KYC applications with CVLKRA & Hold & Operate the Demat Account.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the Company is furnished to **RRS SHARES & STOCK BROKERS PVT LTD**

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the Company be furnished to **RRS SHARES & STOCK BROKERS PVT LTD** and such other parties as may be required from time to time.

**ON THE LETTER HEAD OF COMPANY:**  
(For Corporates)

**FORMAT**

Certificate dated \_\_\_\_\_

submitted by \_\_\_\_\_ to

SHARE HOLDING PATTERN of \_\_\_\_\_ as on \_\_\_\_\_

EQUITY / PREFERENCE (Please indicate and use separate sheets for equity/preference shares)

Sr. No.	Name \$	Number of shares held	Face value per share	Amt Paid up (Rs. In lakh)	% of total
1					
2					
3					
4					
5					
6					
7					
8					
Others					
TOTAL					100 %

\$ All initials to be expanded

**NOTES :**

Persons holding 5% or more of the paid up capital should be shown separately and not clubbed in Others.

Date :

Place : Authorised Signatory/Director (s)

**CERTIFICATE**

This is to certify that the shareholding in \_\_\_\_\_ as given above, based on my/our scrutiny of the books of accounts, records and documents it true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

Place:

For (Name of Accounting Firm)

Date:

Name of Partner/Proprietor

Chartered Accountant

Membership Number

**NSE - MFSS Facility**  
**(Letter to be provided by the Investor to the Participant)**

**VOLUNTARY**

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

To,

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

**Sub: Mutual Fund Service System (MFSS) facility**

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

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

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

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

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

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

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

Thanking you,

Yours faithfully

(Signature of First Director/Partner/Trustee)

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

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

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

**2. Terms and Conditions**

- 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.

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

#### • SCORES

(<https://www.scores.gov.in/scores/Welcome.html>)

#### **FILING COMPLAINTS ON SCORES - EASY & QUICK**

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES
  - i. Name, PAN, Address, Mobile Number, Email id
- c. Benefits:
  - i. Effective communication
  - ii. Speedy redressal of the grievances

Tel.: 1800 266 7575 or 1800 22 7575 • [www.scores.gov.in](http://www.scores.gov.in)

#### **SEBI MOBILE APP'S**

##### **ANROID**

SEBI Investor awareness (<https://play.google.com/store/apps/details?id=com.sebi.invapp>)

SEBI SCORES (<https://play.google.com/store/apps/details?id=com.ionicframework.sebi236330>)

##### **IOS**

SEBI Investor awareness (<https://apps.apple.com/in/app/sebi-investor-awareness/id1589426387>)

SEBI SCORES (<https://apps.apple.com/in/app/sebiscores/id1493257302>)

## Instructions to the Applicants (BOs) for account opening:

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his / her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

### (A) Association of Persons (AOP)

- a) Object of the association. b) Powers of the Managing Committee. c) Copy of the Bye Laws.

### (B) Proprietary / Partnership Firms

BO accounts in the name of the Proprietorship Concern or Partnership Firm cannot be opened in CDSL system. KYC application form / KRA details are to be obtained for proprietor / partners and partnership firm. For Partnership firm, Partnership deed is also to be obtained. The pan card details of the partnership firm / proprietor is to be updated in the CDSL system.

BO's Account can have a maximum of three names associated with it: the Sole/ First Account holder, the First Joint holder and the Second Joint holder. One passport-size photograph of each applicant shall be pasted on the form along with their signatures across the photograph and Account Opening Form.

### (C) Foreign Corporate

A duly signed declaration that the corporate has complied with, and will continue to comply with, FEMA Regulations and other applicable laws.

### (D) Clearing Member (CM)

- a) If CM is a corporate body: True copy of certificate of registration with SEBI, certified by Managing Director/Company Secretary / notarized.  
b) If CM is a not a corporate body: • The CM account (CM Pool / CM Principal / 1 / Early Pay-in) may be opened in the CDSL system:  
i)- either in the name of the partnership firm/entity as mentioned on the Certificate of Registration with SEBI, or ii)- in the name of the proprietor or partners (up to three partners). • Photocopy of Certificate of Registration with SEBI, duly notarized.  
c) Asset Management Company (AMC) Pool Account: • This account is linked with a stock exchange.  
Following document is to be submitted by the AMC for opening the pool account with any DP of CDSL for the purpose of settlement of mutual fund units:  
• Letter / circular / instructions issued by the concerned Stock Exchange indicating the CM ID.

### (E) OCBs

- a) Certified true copy of Board Resolution, certified by Managing Director/Company Secretary for persons authorized by the Board to act as authorized signatory (ies).  
b) Names of the authorized signatory (ies), designation, photographs and their specimen signatures, certified by Managing Director/Company Secretary.  
c) Memorandum and Articles of Association of the Company.  
d) RBI Registration Certificate.  
e) Declaration from the OCB that it meets with the guidelines issued by RBI / Ministry of Finance.  
f) Certificate from overseas auditors in Form OAC or OAC – 1, as may be applicable.  
g) Statement of account from the Bank.

### (F) Society

Registered Society: The account shall be opened in the name of the society.

Unregistered Society: a) The account shall be opened in the names of the members under "Individual" category (maximum three accountholders).

b) All the documents, as applicable for account opening under individual category, shall be obtained.

### (G) Trust

Public Trust/ Charitable Trust and Trust capable of holding property in its name (Registered Trust /Public Trust):

- a) Account shall be opened in the name of the Trust.  
b) Certificate of Registration of Trust under the Societies Registration Act/Public Trust Act, 1860 / Bombay Public Trust Act, 1950 / Public Trust Act, of relevant State.  
c) Certified true copy of Board Resolution to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account.  
d) Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee.

Private Trust:

- a) The Board of Trustees shall specify the names of the trustee/s who shall hold/ operate the demat account.  
b) The account shall be opened in the names of the trustees under "Individual" category of the first named trustee (maximum three account holders).  
Recognized Funds / Trusts/ Other similar entities.

The Funds/ Trusts/ Entities presently included under this category are as follows:

- a) Employees Provident Fund, which have been recognized by the Provident Fund Commissioner under Employee's Provident Funds & Miscellaneous Provisions Act, 1952.  
b) Employees Gratuity Fund, which are formed under Payment of Gratuity Act, 1972.  
c) Superannuation Fund which are formed under the guidelines issued by Income Tax Department.  
d) Venture Capital Funds which are registered by SEBI.  
e) ESOP Trust formed pursuant to the guidelines issued by SEBI).  
Accounts of the above Funds/ Trusts/ Entities shall be opened in the name of above Funds/ Trusts/ Entities as they are recognized either under the Income Tax Act or Securities & Exchange Board of India Act, etc.  
Documents to be furnished by the above Funds/ Trusts/ Entities and other Funds/ Trusts/ Entities, which are similarly placed, are:  
• Certificate of Registration, if any, issued by the authority recognizing the Fund / Trust / Entity as such; • Trust Deed and Rules and/or any document or charter defining their constitution and providing for management thereof; • List of Members on the Board of Trustees/Governing Body; • Certified true copy of the Resolution passed by the Board of Trustees/Governing Body to open the demat account and specifying the persons authorized by the Board to act as Authorized signatory(ies) to operate the demat account; • Names of the authorized signatories, designation, and their specimen signatures duly verified by the Managing Trustee;

### (H) Banks

- a) Certified true copy of Board Resolution, or b) Letter on the letterhead of the bank, signed by the Chairman/MD authorizing opening of account and authority given to authorized signatories to open and operate the demat account.

### (I) Mutual Funds

SEBI Registration Certificate clearly indicating the name of the Mutual Fund.

### (J) Escrow Account

• KYC form / KRA details of entity that is opening the account (RTA / Clearing Member / Manager to the Issue). • The photographs of the authorized signatory (ies) who would be operating the account. • PAN card of both parties i.e. Corporate entity & Escrow Agent. The PAN details of the Corporate entity would have to be captured in the CDSL system.

Procedure for opening Escrow account.

• The escrow account shall be opened in the name and form of < Issuer name> - <Reason for opening the escrow account>-operated by-<Operator Name> for e.g. Infosys Technologies Ltd. – Buyback Account - Operated by – Karvy Consultants Ltd. • The photographs of authorized signatories who will be opening the account as well as who will be operating the account along with name, designation shall also be obtained. • The escrow account shall be active for the limited period of the activity for which it has been opened. Such period shall be as specified by SEBI / CDSL or any such regulating authority from time to time. After the specified period is over the account shall be closed by the DP irrespective of whether the closure instruction is received from the account holder or not.

### (K) Limited Liability Partnership Firm

Demat Account for Limited Liability Partnership Firm [which is registered under the Limited Liability Partnership Act (2008)]

Such an account shall be opened as: <"Company Name" Limited Liability Partnership> or <"Company Name" LLP>. For example, if the company name is "ABC" then the demat account shall be opened in the name of <ABC Limited Liability Partnership> or <ABC LLP>.

The following documents shall be obtained :

- (i) Registration Certificate granted by the Registrar to the LLP under the LLP Act 2008. (ii) Declaration, on the letterhead of the LLP signed by all the designated partner/s clearly stating that the within named persons, who are designated partners of the LLP, have been nominated as authorized signatories to open and operate the said demat account on behalf of the LLP. (iii) The declaration shall specify the manner in which the account will be operated, that is: jointly or severally and shall give details of the names, addresses and DPIN [Designated Partner Identification Number allotted by the Registrar for each designated partner]/DIN [Directors Identification Number] along with their signatures and photographs. (iv) PAN Card details of the LLP are to be entered in the CDSL system. (v) The bank details in the name of the LLP, as sole / first holder in the bank account. (vi) PAN card of the authorized signatories to be kept on record. (vii) In case of change in registered office address of the LLP, the DP should take on record the notice of change of address filed by the LLP with the Registrar  
• Joint holders in the demat account may be allowed. • Nomination in such demat accounts shall not be allowed. • Such demat accounts shall be opened under "Corporate" status in the CDSL system with the sub-status "Limited Liability Partnership".



**RRS SHARES & STOCK BROKERS PVT LTD***For Non-Individuals*

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

**Additional KYC Form for Opening a Demat Account  
(For entities other than Individuals)**

Application No.											Date							
DP Internal Reference No.																		
DP ID	1	2	0	2	9	0	0	0	Client ID	0	0	0						

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

I / We request you to open a demat account in my / our name as per the following details: -

**Holders Details**

Sole / First Holder's Name																		
Search Name											PAN							
Exchange Name & ID											UCC							
Second Holder's Name											PAN							
											UID	X	X	X	X	X	X	X
Third Holder's Name											PAN							
											UID	X	X	X	X	X	X	X

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

<b>Type of Account</b>	<b>(Please tick whichever is applicable)</b>
------------------------	--

Status										Sub – Status	
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> Banks	<input type="checkbox"/> Trust	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> OCB	<input type="checkbox"/> FII				<b>To be filled by the DP</b>		
<input type="checkbox"/> CM	<input type="checkbox"/> FI	<input type="checkbox"/> Clearing House	<input type="checkbox"/> Individual HUF	<input type="checkbox"/> Others							
Date of Incorporation											
SEBI Registration No. (If Applicable)						SEBI Registration Date					
RBI Registration No. (If Applicable)						RBI Approval Date					
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____										

I/We instruct the DP to receive each and every credit in my/our account [Automatic Credit] (If not marked, the default option would be 'Yes')	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No

Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

I/ We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	

**Clearing Member Details (To be filled by CMs only)**

Name of Stock Exchange			
Name of CC / CH	<b>RRS SHARES &amp; STOCK BROKERS PVT LTD</b>		
Clearing Member Id	<b>M50475</b>	Trading member ID	<b>11301</b>

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

**Bank Details (Dividend Bank Details)**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number							Swift Code:		
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Cash Credit <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City				State			Country		
							PIN		

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

**MICR code starting with 000 will not be eligible for ECS.****OTHER DETAILS**

Gross Annual Income details (please specify): Income Range per annum

☐ Upto Rs. 1,00,000/-   ☐ Rs. 1,00,001/- to Rs. 5,00,000/-   ☐ Rs. 5,00,001/- to Rs. 10,00,000/-☐ Rs. 10,00,001/- to Rs. 25,00,000/-   ☐ Rs. 25,00,001/- to Rs. 100,00,000/-   ☐ More Than Rs. 100,00,000/-

Net worth as on Date : \_\_\_\_\_ Rs. \_\_\_\_\_ (Net worth should not be older than 1 year)

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ☐ Please provide details as per Annexure 2.2 A.**Any other information**

SMS Alert Facility Refer to Terms & Conditions given as <b>Annexure-2.4</b>	<input type="checkbox"/> Yes    MOBILE NO. +91_____	<input type="checkbox"/> No
	[(Mandatory , if you are giving Power of Attorney ( POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
<b>easi</b>	<input type="checkbox"/> Yes. To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> No

**MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**

<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the Holder
--

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We 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 Director/Partner/Trustee	Second Director/Partner/Trustee	Third Director/Partner/Trustee
Name			
Designation			
Signature			
	(30)		

(Signatures should be preferably in black ink).

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

## 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, EBI (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.
13. Pursuant to SEBI circular SEBI/HO/MIRSD/DOP/P/CIR/2022/44 Dated April 04, 2022 - 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.

### Statement of account

14. 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.
15. 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.
16. 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.
17. 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

18. 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.

19. 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**

20. 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.
21. 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**

22. 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**

23. 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.
24. 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**

25. 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**

26. 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**

27. 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.
28. 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.
29. 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.
30. 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
31. 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.
32. 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.



**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](mailto: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.

(31)



First Director/Partner/Trustee



Second Director/Partner/Trustee



Third Director/Partner/Trustee

**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 warranty 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.

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

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

BOID

1	2	0	2	9	0	0	0		0	0					
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent

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

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

The mobile number is registered in the name of: \_\_\_\_\_

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

(32)



Signatures \_\_\_\_\_  
First Director/Partner/Trustee



\_\_\_\_\_  
Second Director/Partner/Trustee



\_\_\_\_\_  
Third Director/Partner/Trustee

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

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

OPTION FORM FOR ISSUE OF DIS BOOKLET

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

DP ID	1	2	0	2	9	0	0	0	Client ID	0	0						
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.




Dear Sir/Madam,

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

☐ **OPTION 1:**




I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have issued a Power of Attorney (POA)/DDPI/registered for eDis/executed PMS agreement in favour of/with \_\_\_\_\_ (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member /by PMS manager/for executing delivery instructions through eDIS.

Yours faithfully,

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures (33)			

☐ **OPTION 2:**

I/We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a POA/DDPI/registered for eDis/executed PMS agreement in favour of/with \_\_\_\_\_ (name of the attorney/Clearing Member/ PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures (33)			

===== ( Please Tear here ) =====

ACKNOWLEDGEMENT RECEIPT

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

DP ID	1	2	0	2	9	0	0	0	Client ID	0	0	0					
Name of Sole/First Holder																	
Name of Second Joint Holder																	
Name of Third Joint Holder																	

Date:

For RRS SHARES & STOCK BROKERS PVT LTD

(Authorised Signatory)

**DETAILS OF POLITICALLY EXPOSED PERSONS (PEP)/ RELATED TO POLITICALLY EXPOSED PERSON (RPEP).  
[ FOR-NON-INDIVIDUAL ]**

Name of holder \_\_\_\_\_ PAN of the holder \_\_\_\_\_

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

Name & Signature of the Authorised Signatories Date\_\_\_\_/\_\_\_\_/\_\_\_\_

PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

**E-STATEMENT OF ACCOUNT**

**VOLUNTARY**

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

To,

**RRS SHARES & STOCK BROKERS PVT LTD**

24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

Dear Sirs,

**Re: Beneficial Owner (BO) Account No. \_\_\_\_\_**

I/We \_\_\_\_\_  
[name(s) of the BO(s) ] had entered into agreement dated \_\_\_\_\_ with you at the time of opening  
of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL.) I/We confirm  
having opted to receive the statement of accounts pertaining account in electronic mode in lieu of physical copy of  
the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute  
full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/  
our BO account. But, I/We reserve my/our right to receive the physical copy of statement of accounts despite  
receiving the same in electronic mode, if such a demand is made in writing on you.

[Email address: \_\_\_\_\_]

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch /  
service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing  
by me/us acknowledge delivery.

Yours faithfully,

(34)



\_\_\_\_\_  
First Director/Partner/Trustee



\_\_\_\_\_  
Second Director/Partner/Trustee



\_\_\_\_\_  
Third Director/Partner/Trustee



# DEMAT DEBIT AND PLEDGE INSTRUCTION

**VOLUNTARY**













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

Unique Client Code															
BO ID	1	2	0	2	9	0	0	0	0	0					
Name of First Holder															
Name of Second Holder															
Name of Third Holder															

To,  
**RRS SHARES & STOCK BROKERS PVT LTD**  
 24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound,  
 114, Ambalal Doshi Marg, Fort, Mumbai - 400 001.

**Sub: Execution of 'Demat Debit and Pledge Instruction' (DDPI) for transfer of securities towards deliveries / settlement obligations and pledging / re-pledging of securities as per SEBI circular SEBI/ HO/ MIRSD/ DoP/ P/ CIR/ 2022/ 44 dated April 4, 2022 and SEBI/HO/MIRSD/MIRSD-PoD-1/P/IR/2022/137 dated October 6, 2022 on Execution of Demat Debit and Pledge Instruction' (DDPI).**




1. I/We hereby execute Demat Debit and Pledge Instruction' (DDPI) in the favour of RRS SHARES & STOCK BROKERS PVT LTD and agree to authorize them to access my/our BO Account specified above for the limited purpose of settlement/margin obligation as specified below:

Sr. No.	Purpose/Nature of Instruction	Client Signature
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries/ settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker (TM).	(35)  First Holder: _____  Second Holder: _____  Third Holder: _____
2.	Pledging/re-pledging of securities in favour of trading member (TM) /clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(36)  First Holder: _____  Second Holder: _____  Third Holder: _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	(37)  First Holder: _____  Second Holder: _____  Third Holder: _____
4.	Tendering shares in open offers through Stock Exchange platforms	(38)  First Holder: _____  Second Holder: _____  Third Holder: _____

**2. List of Beneficial Owner Accounts that the Member is entitled to operate with DDPI are as follows\*:**

Sr. No.	Exchange/ Segment	Account Type	DP Name - RRS SHARES & STOCK BROKERS PVT LTD															
			Demat Account Number															
1	NSE - NSDL	CM Pool - CM BP ID NSE - IN504759	I	N	3	0	0	1	2	6	1	0	0	0	0	1	0	7
2	BSE - NSDL	CM Pool - CM BP ID BSE - IN667266 Buyback and Offer for Sale.	I	N	3	0	0	1	2	6	1	1	2	7	6	5	1	4
3	NSE CDSL	CM Pool SLB	1	2	0	2	9	0	0	0	0	0	0	4	8	2	0	1
4	NSE CDSL	CM Pool	1	2	0	2	9	0	0	0	0	0	0	4	7	9	9	1
5	BSE CDSL	Principal	1	2	0	2	9	0	0	0	0	0	0	4	6	0	0	1
6	BSE CDSL	CM Pool	1	2	0	2	9	0	0	0	0	0	0	4	6	0	3	3
7	NSE/BSE-CDSL	Corporate - TM/CM CMPA	1	2	0	2	9	0	0	0	0	0	0	4	7	0	1	8
8	NSE CDSL	SLB Early Payin	1	1	0	0	0	0	2	3	0	0	0	0	0	8	5	1
9	NSE CDSL	CM Early Payin	1	1	0	0	0	0	1	1	0	0	0	2	1	1	2	1

3. The authorization provided by DDPI shall be applicable for all transactions specified herein from the date of applicability as specified by SEBI/Exchange.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	(39) 		

If HUF, Co-parceners Name & Signature

1.	
2.	
3.	
4.	
5.	

## HUF DECLARATION

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

I hereby request you to open our Demat account with you, for our HUF.

Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e. \_\_\_\_\_

Sr No	Name of Family Members	Relationship with Karta	Male/Female	Date of Birth	Signature
1		Self			
2					
3					
4					
5					
6					

I hereby also declare that the particulars given by me as above are true to the best of my knowledge as on date for making this Application to open new demat Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that i will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you,

Yours truly,

X

Karta

(Affix stamp of HUF)

## CONFIRMATION FOR HUF

I/We the co-parceners of \_\_\_\_\_ H.U.F., do hereby confirm that we have no objection to \_\_\_\_\_ who is the Karta of the aforesaid H.U.F. to issue standing instructions by means of either a Power of Attorney/Authorization letter to RRS SHARES & STOCK BROKERS PVT LTD

We understand that this Power of Attorney/Authorisation letter issued to RRS SHARES & STOCK BROKERS PVT LTD, is for the explicit purpose of delivery of shares sold by the Karta on behalf of the H.U.F.

Beneficiary Account No.: **1202900000** \_\_\_\_\_

### Name of Co-parceners

1. \_\_\_\_\_



Co-parceners Signature

2. \_\_\_\_\_



Co-parceners Signature

3. \_\_\_\_\_



Co-parceners Signature

4. \_\_\_\_\_



Co-parceners Signature

5. \_\_\_\_\_



Co-parceners Signature

6. \_\_\_\_\_



## CHARGES OF THE DEPOSITORY SERVICES (CDSL) - DP ID 29000

	INDIVIDUAL - BSDA	INDIVIDUAL - BSDA Opted Out	Non-Individual
1. Account Opening	NIL	NIL	NIL
2. Annual Maintenance	NIL upto Rs. 400,000/- Rs. 100/- (Value of holding from Rs. 400,001/- to Rs. 10,00,000/-) Rs. 500/- above 10,00,000/-	Rs. 500/-	Rs. 2500/- Rs. 5000/- (Escrow A/c.)
3. Dematerialisation	Rs. 50/- Per Certificate, Plus Rs. 200/- Per Request	Rs. 50/- Per Certificate, Plus Rs. 200/- Per Request	Rs. 50/- Per Certificate, Plus Rs. 200/- Per Request
4. Rematerialisation	0.12% of the market value of the securities	0.12% of the market value of the securities	0.12% of the market value of the securities
5. Transaction SELL	1) Rs. 25/- per ISIN 2) Rs. 15/- per ISIN for POA given to RRS	1) Rs. 25/- per ISIN 2) Rs. 15/- per ISIN for POA given to RRS	1) Rs. 25/- per ISIN 2) Rs. 15/- per ISIN for POA given to RRS
6. Transaction BUY	NIL	NIL	NIL
7. Pledge Creation	Rs. 50/- per ISIN	Rs. 50/- per ISIN	Rs. 50/-
8. Pledge Confirmation	0.05% of the value	0.05% of the value	0.05% of the value
9. Pledge Closure	Rs. 50/- per ISIN	Rs. 50/-	Rs. 50/-
10. Pledge Closure Confirmation	0.05% of the value	0.05% of the value	0.05% of the value
11. Margin Pledge	Rs. 15/-	Rs. 15/-	Rs. 15/-
12. Margin Unpledge	NIL	NIL	NIL
13. Margin Repledge/Unrepledge	NIL	NIL	NIL

### CONDITIONS:

- Customer's who have a relationship with RRS SHARES & STOCK BROKERS PVT. LTD. will provided a debit authorisation for the recovery of service charges from any receivables.

### COMMON CLAUSES:

- The fees includes the depository charges wherever applicable charges/service standards are subject to revision at the RRS SHARES & STOCK BROKERS PVT. LTD. sole discretion and as informed by circulars send by ordinary post.
- Value of the transaction will be accordance with rates provide by CDSL.
- All charges will be payable monthly except for Account Maintenance Charges which are payable annually in Advance. If the value holding in BSDA exceeds the prescribed holding criteria at any date, tariff structure would be applicable from the date onwards.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately. GST will be charged as per applicable rates. **Courier charges for NRI clients will be charged additionally along with above charges on actual basis.**
- Operating instructions for the joint accounts must be signed by all the holders.
- All instructions for transfer must be received at the designed branch or regd. office atleast 24 hours before the execution date. For late instructions the services standards and charges are as under.

To,

RRS SHARES & STOCK BROKERS PVT. LTD. - DP ID: 29000

I/We do hereby agree to the above mentioned charges, terms & conditions and OPT for **BSDA/BSDA Opted Out** Account.  
I/We hereby authorise the following persons to collect my/our Transaction Statements, Instruction slips, all correspondence, Bills for Depository charges, etc. Kindly deliver all my/our above documents to them or the persons being authorised by them. The details about the name, signatures and initials of the said persons is as below.

S. No.	Name	Signature	Initials

(40)

Sign of 1<sup>st</sup> Holder /  
Authorised Signatory

Sign of 2<sup>nd</sup> Holder /  
Authorised Signatory  
64

Sign of 3<sup>rd</sup> Holder /  
Authorised Signatory

**Details of ultimate beneficial owner including  
additional FATCA & CRS information**

**\*Name of the entity**

**Type of address given at KYC KRA** ☐ Residential & Business ☐ Residential ☐ Business ☐ Regd. Off.

Address of tax residence would be taken as available in KRA database. In case of any change, please approach KRA & notify the changes

**Customer ID/Folio Number**

**PAN**

**Date of Incorporation**  DD /  MM /  YY  YY

**City of incorporation**

**Country of incorporation**

**Entity Constitution Type** ☐ Partnership Firm ☐ HUF ☐ Private Limited Company ☐ Public Limited Company  
Please tick as appropriate ☐ Society ☐ Aop/BoiSociety ☐ Trust H Liquidator ☐ Limited Liability Partnership  
☐ Artificial Judicial Person ☐ Others specify \_\_\_\_\_

**Please tick the applicable tax resident declaration** ☐ Yes ☐ No

1. Is Entity\* a tax resident of any country other India. ☐ Yes ☐ No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax identification Number#	Identification Type (TIN or Other, please specify)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**# In case Tax identification Number is not available, kindly provide its functional equivalent \$**  
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation/Tax residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code here

**FATCA & CRS Declaration**

*(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)*

**PART A** (to be filled by Financial Institutions or Direct Reporting NFEs)

1. We are a, ☒ Financial institution or ☒ Direct reporting NFE (please tick as appropriate)

**GIIN**

**Note:** If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

**Name of sponsoring entity**

**GIIN not available** (Please tick as applicabe) ☒ **Applied for**

If the entity is a financial institution, ☒ Not required to apply for-please specify 2 digits sub-category

☒ Not obtained-Non participating FI

**PART B** (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company' (that is, a company whose shares are regularly traded on a established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input checked="" type="checkbox"/> (If yes, please specify name of the listed company any one stock exchange on which the stock is regularly traded) Name of listed company _____ Name of relation: <input type="checkbox"/> Subsidiary of the listed Company or <input type="checkbox"/> Controlled by a listed Company Name of stock exchange _____
3.	Is the Entity an active NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4.	Is the Entity an passive NFE	Yes <input checked="" type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

**UBO Declaration**

Category (Please tick applicable category) ☐ Unlisted Company ☐ Partnership Firm  
☐ Limited Liability Partnership Company ☐ Unincorporated association/body of individuals  
☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust  
☐ Others (please specify) \_\_\_\_\_

Please list below the details of controlling person(s), confirming ALL countries of tax residency/permanent residency/citizenship and ALL Tax identification Numbers for EACH controlling person(s).

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person	Tax ID Type - TIN or other, please specify.	Tax ID Type - TIN or other, please specify
Country - Tax Residency	Beneficial Interest - in percentage	Beneficial Interest - in percentage
Tax ID No. - or functional equivalent for each country"	Type Code - of controlling person"	Type Code - of controlling person"
1. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP _____ State: _____ Country: _____
2. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP _____ State: _____ Country: _____
3. Name _____ Country _____ Tax ID No. _____	Tax ID Type _____ Type Code _____ Address Type <input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	Address _____ ZIP _____ State: _____ Country: _____

# If passive NFE, please provide below additional details.

**PAN/Any other Identification Number**

(PAN, Aadhar, Passport, Election ID, Govt. ID, Driving Licence NREGA Job Card, Others)

City of Birth - Country of Birth

**Occupation Type - Service, Business, Others****Nationality**

Father's Name - Mandatory if PAN is not available

DOB - Date of Birth

Gender - Male, Female, Others

1. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>						
Country of Birth		Father's Name		Others <input checked="" type="checkbox"/>										
2. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>						
Country of Birth		Father's Name		Others <input checked="" type="checkbox"/>										
3. PAN		Occupation Type		DOB	D	D	/	M	M	/	Y	Y	Y	Y
City of Birth		Nationality		Gender	Male	<input checked="" type="checkbox"/>	Female	<input checked="" type="checkbox"/>						
Country of Birth		Father's Name		Others <input checked="" type="checkbox"/>										

# Additional details to be filled by controlling persons with tax residency/permanent residency/citizenship/Green Card in any country other than India.

\* To include US, where controlling person is a US citizen or green card holder

" In case Tax Identification Number is not available, kindly provide functional equivalent.

**FATCA & CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

Please note that you may receive more than one request for information. If you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or greencard holder, please include United States in the foreign country information field along with your US Tax Identification Number.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explationation and attach this to the form.

**Certification**

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Name

Designation

(41)

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

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

First Director/Partner/Trustee Second Director/Partner/Trustee Third Director/Partner/Trustee

**Annexure-A**  
**Investor Charter – Stock Brokers**

**VISION**

To follow highest standards of ethics and compliances while facilitating the trading by clients in securities in a fair and transparent manner, so as to contribute in creation of wealth for investors.

**MISSION**

- i) To provide high quality and dependable service through innovation, capacity enhancement and use of technology.
- ii) To establish and maintain a relationship of trust and ethics with the investors.
- iii) To observe highest standard of compliances and transparency.
- iv) To always keep 'protection of investors' interest' as goal while providing service.

**Services provided to Investors**

- Execution of trades on behalf of investors.
- Issuance of Contract Notes.
- Issuance of intimations regarding margin due payments.
- Facilitate execution of early pay-in obligation instructions.
- Settlement of client's funds.
- Intimation of securities held in Client Unpaid Securities Account (CUSA) Account.
- Issuance of retention statement of funds.
- Risk management systems to mitigate operational and market risk.
- Facilitate client profile changes in the system as instructed by the client.
- Information sharing with the client w.r.t. exchange circulars.
- Redressal of Investor's grievances.

**Rights of Investors**

- Ask for and receive information from a firm about the work history and background of the person handling your account, as well as information about the firm itself.
- Receive complete information about the risks, obligations, and costs of any investment before investing.
- Receive recommendations consistent with your financial needs and investment objectives.
- Receive a copy of all completed account forms and agreements.
- Receive account statements that are accurate and understandable.
- Understand the terms and conditions of transactions you undertake.
- Access your funds in a timely manner and receive information about any restrictions or limitations on access.
- Receive complete information about maintenance or service charges, transaction or redemption fees, and penalties.
- Discuss your grievances with compliance officer of the firm and receive prompt attention to and fair consideration of your concerns.

**Various activities of Stock Brokers with timelines**

S.No.	Activities	Expected Timelines
1.	KYC entered into KRA System and CKYCR	10 days of account opening
2.	Client Onboarding	Immediate, but not later than one week
3.	Order execution	Immediate on receipt of order, but not later than the same day
4.	Allocation of Unique Client Code	Before trading
5.	Copy of duly completed Client Registration Documents to clients	7 days from the date of upload of Unique Client Code to the Exchange by the trading member
6.	Issuance of contract notes	24 hours of execution of trades
7.	Collection of upfront margin from client	Before initiation of trade
8.	Issuance of intimations regarding other margin due payments	At the end of the T day
9.	Settlement of client funds	30 days / 90 days for running account settlement (RAS) as per the preference of client. If consent not given for RAS – within 24 hours of pay-out
10.	'Statement of Accounts' for Funds, Securities and Commodities	Weekly basis (Within four trading days of following week)



S.No.	Activities	Expected Timelines
11.	Issuance of retention statement of funds/ commodities	5 days from the date of settlement
12.	Issuance of Annual Global Statement	30 days from the end of the financial year
13.	Investor grievances redressal	30 days from the receipt of the complaint

### DOs and DON'Ts for Investors

DOs	DON'Ts
<ol style="list-style-type: none"> <li>1. Read all documents and conditions being agreed before signing the account opening form.</li> <li>2. Receive a copy of KYC, copy of account opening documents and Unique Client Code.</li> <li>3. Read the product/operational framework/timelines related to various Trading and Clearing &amp; Settlement processes.</li> <li>4. Receive all information about brokerage, fees and other charges levied.</li> <li>5. Register your mobile number and email ID in your trading, demat and bank accounts to get regular alerts on your transactions.</li> <li>6. If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. Before granting Power of Attorney, carefully examine the scope and implications of powers being granted.</li> <li>7. Receive contract notes for trades executed, showing transaction price, brokerage, GST and STT etc. as applicable, separately, within 24 hours of execution of trades.</li> <li>8. Receive funds and securities/commodities on time within 24 hours from pay-out.</li> <li>9. Verify details of trades, contract notes and statement of account and approach relevant authority for any discrepancies. Verify trade details on the Exchange websites from the trade verification facility provided by the Exchanges.</li> <li>10. Receive statement of accounts periodically. If opted for running account settlement, account has to be settled by the stock broker as per the option given by the client (30 or 90 days).</li> <li>11. In case of any grievances, approach stock broker or Stock Exchange or SEBI for getting the same resolved within prescribed timelines.</li> </ol>	<ol style="list-style-type: none"> <li>1. Do not deal with unregistered stock broker.</li> <li>2. Do not forget to strike off blanks in your account opening and KYC.</li> <li>3. Do not submit an incomplete account opening and KYC form.</li> <li>4. Do not forget to inform any change in information linked to trading account and obtain confirmation of updation in the system.</li> <li>5. Do not transfer funds, for the purposes of trading to anyone other than a stock broker. No payment should be made in name of employee of stock broker.</li> <li>6. Do not ignore any emails/SMSs received with regards to trades done, from the Stock Exchange and raise a concern, if discrepancy is observed.</li> <li>7. Do not opt for digital contracts, if not familiar with computers.</li> <li>8. Do not share trading password.</li> <li>9. Do not fall prey to fixed/guaranteed returns schemes.</li> <li>10. Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.</li> <li>11. Do not follow herd mentality for investments. Seek expert and professional advice for your investments.</li> </ol>

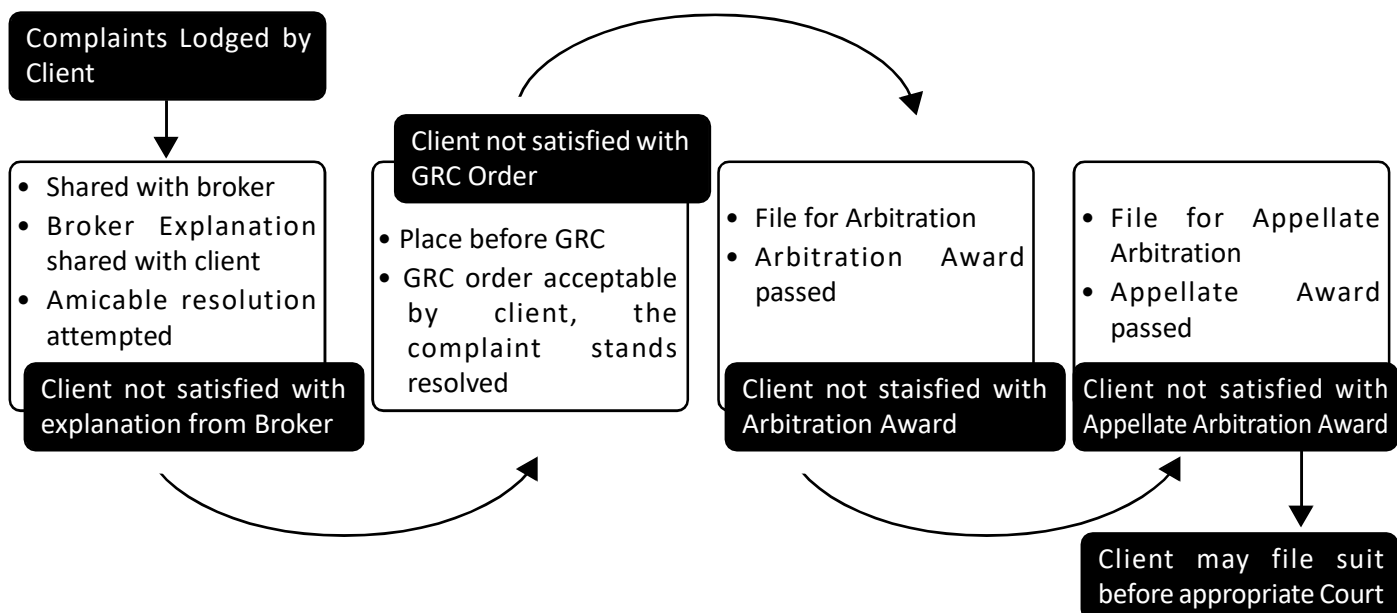
### Grievance Redressal Mechanism

**Level 1** – Approach the Stock Broker at the designated Investor Grievance e-mail ID of the stock broker. The Stock Broker will strive to redress the grievance immediately, but not later than 30 days of the receipt of the grievance.

**Level 2** – Approach the Stock Exchange using the grievance mechanism mentioned at the website of the respective exchange.

**Level 3** – The complaint not redressed at Stock Broker/Stock Exchange level, may be lodged with SEBI on SCORES (a web based centralized grievance redressal system of SEBI) @ <https://scores.gov.in/scores/Welcome.html>

Complaints Resolution Process at Stock Exchange explained graphically:



**Timelines for complaint resolution process at Stock Exchanges against stock brokers**

S.No.	Type of Activity	Timelines for activity
1.	Receipt of Complaint	Day of complaint (C Day)
2.	Additional information sought from the investor, if any, and provisionally forwarded to stock broker.	C + 7 Working days.
3.	Registration of the complaint and forwarding to the stock broker.	C + 8 Working Days i.e. T day.
4.	Amicable Resolution.	T + 15 Working Days.
5.	Refer to Grievance Redressal Committee (GRC), in case of no amicable resolution.	T + 16 Working Days.
6.	Complete resolution process post GRC.	T + 30 Working Days.
7.	In case where the GRC Member requires additional information, GRC order shall be completed within.	T + 45 Working Days.
8.	Implementation of GRC Order.	On receipt of GRC Order, if the order is in favour of the investor, debit the funds of the stock broker. Order for debit is issued immediately or as per the directions given in GRC order.
9.	In case the stock broker is aggrieved by the GRC order, will provide intention to avail arbitration	Within 7 days from receipt of order
10.	If intention from stock broker is received and the GRC order amount is upto Rs. 20 lakhs	Investor is eligible for interim relief from Investor Protection Fund (IPF). The interim relief will be 50% of the GRC order amount or Rs.2 lakhs whichever is less. The same shall be provided after obtaining an Undertaking from the investor.
11.	Stock Broker shall file for arbitration	Within 6 months from the date of GRC recommendation
12.	In case the stock broker does not file for arbitration within 6 months	The GRC order amount shall be released to the investor after adjusting the amount released as interim relief, if any.

#### **Handling of Investor's claims/complaints in case of default of a Trading Member/Clearing Member (TM/CM) Default of TM/CM**

Following steps are carried out by Stock Exchange for benefit of investor, in case stock broker defaults:

- Circular is issued to inform about declaration of Stock Broker as Defaulter.
- Information of defaulter stock broker is disseminated on Stock Exchange website.
- Public Notice is issued informing declaration of a stock broker as defaulter and inviting claims within specified period.
- Intimation to clients of defaulter stock brokers via emails and SMS for facilitating lodging of claims within the specified period.

Following information is available on Stock Exchange website for information of investors:

- Norms for eligibility of claims for compensation from IPF.
- Claim form for lodging claim against defaulter stock broker.
- FAQ on processing of investors' claims against Defaulter stock broker.
- Provision to check online status of client's claim.

**Annexure-A**  
**Investor Charter for Depositories and Depository Participants**

**1. VISION**

Towards making Indian Securities Market - Transparent, Efficient, & Investor friendly by providing safe, reliable, transparent and trusted record keeping platform for investors to hold and transfer securities in dematerialized form.

**2. MISSION**

- To hold securities of investors in dematerialised form and facilitate its transfer, while ensuring safekeeping of securities and protecting interest of investors.
- To provide timely and accurate information to investors with regard to their holding and transfer of securities held by them.
- To provide the highest standards of investor education, investor awareness and timely services so as to enhance Investor Protection and create awareness about Investor Rights.

**3. Details of business transacted by the Depository and Depository Participant (DP)**

A Depository is an organization which holds securities of investors in electronic form. Depositories provide services to various market participants - Exchanges, Clearing Corporations, Depository Participants (DPs), Issuers and Investors in both primary as well as secondary markets. The depository carries out its activities through its agents which are known as Depository Participants (DP). Details available on the link [link to be provided by Depositories]

**4. Description of services provided by the Depository through Depository Participants DP to investors**  
**(1) Basic Services**

S.No.	Brief about the Activity/Service	Expected Timelines for processing by the DP after receipt of proper documents
1.	Dematerialization of securities	7 days
2.	Rematerialization of securities	7 days
3.	Mutual Fund Conversion Destatementization	5 days
4.	Re-conversion/Restatementisation of Mutual fund units	7 days
5.	Transmission of securities	7 days
6.	Registering pledge request	15 days
7.	Closure of demat account	30 days
8.	Settlement Instruction	Depositories to accept physical DIS for pay-in of securities upto 4 p.m and DIS in electronic form upto 6 p.m on T+1 day

**(2) Depositories provide special services like pledge, hypothecation, Internet based services etc. in addition to their core services and these include**

S.No.	Type of Activity/Service	Brief about the Activity/Service
1.	Value Added Services	Depositories also provide value added services such as a. Basic Services Demat Account (BSDA) [link <a href="https://www.rrshares.com/downloads.aspx">https://www.rrshares.com/downloads.aspx</a> ] <sup>1</sup> b. Transposition cum dematerilization [link <a href="https://www.rrshares.com/downloads.aspx">https://www.rrshares.com/downloads.aspx</a> ] <sup>2</sup> c. Linkages with Clearing System [link <a href="https://www.rrshares.com/downloads.aspx">https://www.rrshares.com/downloads.aspx</a> ] <sup>3</sup> d. Distribution of cash and non-cash corporate benefits (Bonus, Rights IPOs etc.), stock lending, demat of NSC/KVP, demat of warehouse receipts etc.
2.	Consolidated Account statement (CAS)	CAS is issued 10 days from the end of the month (if there were transactions in the previous month) or half yearly (if no transactions)
3.	Digitalization of services provided by the depositories	Depositories offer below technology solutions and e-facilities to their demat account holders through DPs:

S.No.	Type of Activity/Service	Brief about the Activity/Service
		a. E-account opening: Details available on the link [https://www.rrsshares.com] <sup>4</sup> b. Online instructions for execution: Details available on the link [https://www.rrsshares.com] <sup>5</sup> c. e-DIS/Demat Gateway: Details available on the link [https://www.rrsshares.com] <sup>6</sup> d. e-CAS facility: Details available on the link [https://www.rrsshares.com] <sup>7</sup> e. Miscellaneous services: Details available on the link [https://www.rrsshares.com] <sup>8</sup>

## 5. Details of Grievance Redressal Mechanism

### (1) The Process of investor grievance redressal

1.	Investor Complaint/Grievance	<p>Investor can lodge complaint/grievance against the Depository/DP in the following ways:</p> <p>a. Electronic mode -</p> <p>(i) SCORES 2.0 (a web based centralized grievance redressal system of SEBI) [https://www.scores.gov.in/scores/welcome.html] Two Level Review for compliant/grievance against DP: - First review done by Designated Body - Second review done by SEBI</p> <p>(ii) Respective Depository's web portal dedicated for the filing of compliant [https://www.cdslindia.com/Footer/grievances.aspx]</p> <p>(iii) Emails to designated email IDs of Depository [complaints@cdslindia.com]</p> <p>b. Offline mode [https://www.rrsshares.com/investor-grievances.aspx] The complaints/ grievances lodged directly with the Depository shall be resolved within 21 days.</p>
2.	Online Dispute Resolution (ODR)	<p>If the Investor is not satisfied with the resolution provided by DP or other Market Participants, then the Investor has the option to file the complaints/grievance on SMARTODR platform for its resolution through by online conciliation or arbitration. [https://smartodr.in/login]</p>
3.	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> <li>Investor to approach Market Participant for redressal of complaint</li> <li>If investor is not satisfied with response of Market Participant, he/she can escalate the complaints on SEBI SCORES portal.</li> <li>Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> <li>Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>If the matter could not be amicably resolved, then the Investor may request the MII to refer the matter case for conciliation.</li> <li>During the conciliation process, the conciliator will</li> </ul>

		<p>endeavor for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator.</p> <ul style="list-style-type: none"> <li>• If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>• The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.</li> </ul>
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**6. Guidance pertaining to special circumstances related to market activities: Termination of the Depository Participant**

S.No.	Type of special circumstances	Timelines for the Activity/Service
1.	<ul style="list-style-type: none"> <li>• Depositories to terminate the participation in case a participant no longer meets the eligibility criteria and/or any other grounds as mentioned in the bye laws like suspension of trading member by the Stock Exchanges.</li> <li>• Participant surrenders the participation by its own wish.</li> </ul>	Client will have a right to transfer all its 1 securities to any other Participant of its choice without any charges for the transfer within 30 days from the date of intimation by way of letter/email.

**7. Dos and Don'ts for Investors** [<https://www.rrsshares.com/advisoryforinvestors.aspx>]

S.No.	Guidance
1.	Always deal with a SEBI registered Depository Participant for opening a demat account.
2.	Read all the documents carefully before signing them.
3.	Before granting Power of attorney to operate your demat account to an intermediary like Stock Broker, Portfolio Management Services (PMS) etc., carefully examine the scope and implications of powers being granted.
4.	Always make payments to registered intermediary using banking channels. No payment should be made in name of employee of intermediary.
5.	Accept the Delivery Instruction Slip (DIS) book from your DP only (pre-printed with a serial number along with your Client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS slips. Always mention the details like ISIN, number of securities accurately. In case of any queries, please contact your DP or broker and it should be signed by all demat account holders. Strike out any blank space on the slip and Cancellations or corrections on the DIS should be initialed or signed by all the account holder(s). Do not leave your instruction slip book with anyone else. Do not sign blank DIS as it is equivalent to a bearer cheque.
6.	Inform any change in your Personal Information (for example address or Bank Account details, email ID, Mobile number) linked to your demat account in the prescribed format and obtain confirmation of updation in system
7.	Mention your Mobile Number and email ID in account opening form to receive SMS alerts and regular updates directly from depository.
8.	Always ensure that the mobile number and email ID linked to your demat account are the same as provided at the time of account opening/updation.
9.	Do not share password of your online trading and demat account with anyone.
10.	Do not share One Time Password (OTP) received from banks, brokers, etc. These are meant to be used by you only.
11.	Do not share login credentials of e-facilities provided by the depositories such as e-DIS/demat gateway, SPEED-e/easiest etc. with anyone else.
12.	Demat is mandatory for any transfer of securities of Listed public limited companies with few exceptions.
13.	If you have any grievance in respect of your demat account, please write to designated email IDs of depositories or you may lodge the same with SEBI online at <a href="https://scores.gov.in">https://scores.gov.in</a>
14.	Keep a record of documents signed, DIS issued and account statements received.
15.	As Investors you are required to verify the transaction statement carefully for all debits and credits in your account. In case of any unauthorized debit or credit, inform the DP or your respective Depository.
16.	Appoint a nominee to facilitate your heirs in obtaining the securities in your demat account, on completion of the necessary procedures.

S.No.	Guidance
17.	Register for Depository's internet based facility or download mobile app of the depository to monitor your holdings.
18.	Ensure that, both, your holding and transaction statements are received periodically as instructed to your DP. You are entitled to receive a transaction statement every month if you have any transactions.
19.	Do not follow herd mentality for investments. Seek expert and professional advice for your investments
20.	Beware of assured/fixed returns.

#### **8. Rights of investors** [<https://www.rrsshares.com/advisoryforinvestors.aspx>]

- Receive a copy of KYC, copy of account opening documents.
- No minimum balance is required to be maintained in a demat account.
- No charges are payable for opening of demat accounts.
- If executed, receive a copy of Power of Attorney. However, Power of Attorney is not a mandatory requirement as per SEBI/Stock Exchanges. You have the right to revoke any authorization given at any time.
- You can open more than one demat account in the same name with single DP/ multiple DPs.
- Receive statement of accounts periodically. In case of any discrepancies in statements, take up the same with the DP immediately. If the DP does not respond, take up the matter with the Depositories.
- Pledge and/or any other interest or encumbrance can be created on demat holdings.
- Right to give standing instructions with regard to the crediting of securities in demat account.
- Investor can exercise its right to freeze/defreeze his/her demat account or specific securities/specific quantity of securities in the account, maintained with the DP.
- In case of any grievances, Investor has right to approach Participant or Depository or SEBI for getting the same resolved within prescribed timelines.
- Every eligible investor shareholder has a right to cast its vote on various resolutions proposed by the companies for which Depositories have developed an internet based 'e-Voting' platform.
- Receive information about charges and fees. Any charges/tariff agreed upon shall not increase unless a notice in writing of not less than thirty days is given to the Investor.
- Right to indemnification for any loss caused due to the negligence of the Depository or the participant.
- Right to opt out of the Depository system in respect of any security.

#### **9 Responsibilities of Investors** [<https://www.rrsshares.com/advisoryforinvestors.aspx>]

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form/KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades/transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.

#### **9. Responsibilities of Investors** [<https://www.rrsshares.com/advisoryforinvestors.aspx>]

- Deal with a SEBI registered DP for opening demat account, KYC and Depository activities.
- Provide complete documents for account opening and KYC (Know Your Client). Fill all the required details in Account Opening Form / KYC form in own handwriting and cancel out the blanks.
- Read all documents and conditions being agreed before signing the account opening form.
- Accept the Delivery Instruction Slip (DIS) book from DP only (preprinted with a serial number along with client ID) and keep it in safe custody and do not sign or issue blank or partially filled DIS.
- Always mention the details like ISIN, number of securities accurately.
- Inform any change in information linked to demat account and obtain confirmation of updation in the system.
- Regularly verify balances and demat statement and reconcile with trades/transactions.
- Appoint nominee(s) to facilitate heirs in obtaining the securities in their demat account.
- Do not fall prey to fraudsters sending emails and SMSs luring to trade in stocks/securities promising huge profits.

#### **10.Code of Conduct for Depositories** [<https://www.rrsshares.com/advisoryforinvestors.aspx>]

**(Part D of Third Schedule of SEBI (D & P) regulations, 2018)**

**A Depository shall:**

- (a) always abide by the provisions of the Act, Depositories Act, 1996, any Rules or Regulations framed thereunder, circulars, guidelines and any other directions issued by the Board from time to time.
- (b) adopt appropriate due diligence measures.
- (c) take effective measures to ensure implementation of proper risk management framework and good governance practices.
- (d) take appropriate measures towards investor protection and education of investors.
- (e) treat all its applicants/members in a fair and transparent manner.
- (f) promptly inform the Board of violations of the provisions of the Act, the Depositories Act, 1996, rules, regulations, circulars, guidelines or any other directions by any of its issuer or issuer's agent.
- (g) take a proactive and responsible attitude towards safeguarding the interests of investors, integrity of depository's systems and the securities market.
- (h) endeavor for introduction of best business practices amongst itself and its members.
- (i) act in utmost good faith and shall avoid conflict of interest in the conduct of its functions.
- (j) not indulge in unfair competition, which is likely to harm the interests of any other Depository, their participants or investors or is likely to place them in a disadvantageous position while competing for or executing any assignment.
- (k) segregate roles and responsibilities of key management personnel within the depository including
  - a. Clearly mapping legal and regulatory duties to the concerned position
  - b. Defining delegation of powers to each position
  - c. Assigning regulatory, risk management and compliance aspects to business and support teams
- (l) be responsible for the acts or omissions of its employees in respect of the conduct of its business.
- (m) monitor the compliance of the rules and regulations by the participants and shall further ensure that their conduct is in a manner that will safeguard the interest of investors and the securities market.

**11. Code of Conduct for Participants [www.cdslindia.com]**

**(Part A of Third Schedule of SEBI (D & P) regulations, 2018)**

- 1. A participant shall make all efforts to protect the interests of investors.
- 2. A participant shall always endeavour to—
  - (a) render the best possible advice to the clients having regard to the client's needs and the environments and his own professional skills;
  - (b) ensure that all professional dealings are effected in a prompt, effective and efficient manner;
  - (c) inquiries from investors are adequately dealt with;
  - (d) grievances of investors are redressed without any delay.
- 3. A participant shall maintain high standards of integrity in all its dealings with its clients and other intermediaries, in the conduct of its business.
- 4. A participant shall be prompt and diligent in opening of a beneficial owner account, dispatch of the dematerialisation request form, rematerialisation request form and execution of debit instruction slip and in all the other activities undertaken by him on behalf of the beneficial owners.
- 5. A participant shall endeavour to resolve all the complaints against it or in respect of the activities carried out by it as quickly as possible, and not later than one month of receipt.
- 6. A participant shall not increase charges/fees for the services rendered without proper advance notice to the beneficial owners.
- 7. A participant shall not indulge in any unfair competition, which is likely to harm the interests of other participants or investors or is likely to place such other participants in a disadvantageous position while competing for or executing any assignment.
- 8. A participant shall not make any exaggerated statement whether oral or written to the clients either about its qualifications or capability to render certain services or about its achievements in regard to services rendered to other clients.
- 9. A participant shall not divulge to other clients, press or any other person any information about its clients which has come to its knowledge except with the approval/authorisation of the clients or when it is required to disclose the information under the requirements of any Act, Rules or Regulations.
- 10. A participant shall co-operate with the Board as and when required.
- 11. A participant shall maintain the required level of knowledge and competency and abide by the provisions of the Act, Rules, Regulations and circulars and directions issued by the Board. The participant shall also comply with the award of the Ombudsman passed under the Securities and Exchange Board of India (Ombudsman) Regulations, 2003.

12. A participant shall not make any untrue statement or suppress any material fact in any documents, reports, papers or information furnished to the Board.
13. A participant shall not neglect or fail or refuse to submit to the Board or other agencies with which it is registered, such books, documents, correspondence, and papers or any part thereof as may be demanded/requested from time to time.
14. A participant shall ensure that the Board is promptly informed about any action, legal proceedings, etc., initiated against it in respect of material breach or noncompliance by it, of any law, Rules, regulations, directions of the Board or of any other regulatory body.
15. A participant shall maintain proper inward system for all types of mail received in all forms.
16. A participant shall follow the maker—Checker concept in all of its activities to ensure the accuracy of the data and as a mechanism to check unauthorised transaction.
17. A participant shall take adequate and necessary steps to ensure that continuity in data and record keeping is maintained and that the data or records are not lost or destroyed. It shall also ensure that for electronic records and data, upto-date back up is always available with it.
18. A participant shall provide adequate freedom and powers to its compliance officer for the effective discharge of his duties.
19. A participant shall ensure that it has satisfactory internal control procedures in place as well as adequate financial and operational capabilities which can be reasonably expected to take care of any losses arising due to theft, fraud and other dishonest acts, professional misconduct or omissions.
20. A participant shall be responsible for the acts or omissions of its employees and agents in respect of the conduct of its business.
21. A participant shall ensure that the senior management, particularly decision makers have access to all relevant information about the business on a timely basis.
22. A participant shall ensure that good corporate policies and corporate governance are in place.

(42)




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Sign of 1<sup>st</sup> Holder /  
Authorised Signatory




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Sign of 2<sup>nd</sup> Holder /  
Authorised Signatory




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
Sign of 3<sup>rd</sup> Holder /  
Authorised Signatory



### Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

Signature of Client: <sup>(43)</sup> 

### Download Consent Form

Dear Sir/Madam,

I, \_\_\_\_\_ S/o/D/o/W/o \_\_\_\_\_, give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records/Personal information such as my name, address, date of birth, PAN number etc.

Signature: <sup>(44)</sup> 

Date:

## **DOCUMENT OF RIGHTS AND OBLIGATIONS OF THE CLEARING MEMBER/PARTICIPANT AND ITS CLIENT IN RELATION TO THE SECURITIES LENDING AND BORROWING SCHEME**

1. The Securities and Exchange Board of India ("SEBI") has formulated and issued the Securities Lending Scheme, 1997 ("SEBI Scheme") and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.
2. The National Securities Clearing Corporation is an Approved Intermediary ("AI") registered under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI issued from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as "SLBS") for facilitating lending and borrowing of securities through persons registered as "Participants".
3. SEBI, thereafter, vide its Circular No. CIR/NRD/DP/19/2014 dated June 3, 2014 ("SEBI Circular") has modified the framework of Securities Lending and Borrowing. Under the said SEBI Circular, AI shall enter into an agreement with its Clearing Member/Participant ("Agreement") for the purpose of facilitating Securities Lending and Borrowing and which shall specify the rights, responsibilities and obligations of the AI and the Clearing Member/Participant ("Participant"). The said Agreement shall also define the exact role of AI/ Participant vis-à-vis the Client of Participant. As per the said SEBI Circular, AI is also required to frame rights and obligations document laying down the rights and obligations of the Participant and its Client for the purpose of Securities Lending and Borrowing. The said rights and obligations document shall be mandatory and binding on the Participant. Accordingly, the AI has framed this rights and obligations document laying down the rights and obligations of Participant as well as of its Client ("Rights & Obligations Document").
4. Securities Lending and Borrowing can be undertaken by the Participant either on their own account or on account of its Client registered with them. Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by submitting duly signed relevant documentation/s to the Participant that it is desirous of participating in the SLBS. The Participant on the receipt of said relevant documentation/s from its Client, shall provide this Rights & Obligations Document to its Client which will be duly acknowledged by the Client of having read, understood and to agreeing to abide by the same prior to the execution of trade in the SLBS. The terms and conditions of this Rights & Obligations Document shall be binding on the Participant as well as on its Client.
5. All the transactions under the SLBS by the Client shall be strictly in accordance with SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and the terms and conditions of the said Agreement and this Rights & Obligations Document, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation and the terms and conditions of the said Agreement shall prevail over this Rights & Obligations Document. The provisions of this Rights & Obligations Document are in addition thereto and not in derogation thereof.
6. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability towards the Client under SLBS including any limitations on the liability and the capacity in which the Participant acts.
7. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the rights and obligations of the Participant as well as its Client shall be hereto as under.
8. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.

### **RIGHTS OF THE PARTICIPANT**

9. In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

#### **10. Margins**

The Participant is empowered to call upon its Client to pay such margins as may be specified by the AI from

time to time.

**11. Recovery**

The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities/obligations.

**OBLIGATIONS OF THE PARTICIPANT**

**12.** The Participant has satisfied itself about the genuineness and financial soundness of the Client and the objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.

**13. Issue of Confirmation Memo**

The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.

**14. Money/Securities to be kept in separate account**

The Participant agrees that the money/securities deposited by the Client shall be kept in a separate bank account/settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation and as in force from time to time.

**15. Update on Settlement Process**

The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

**16. Compliance with Know Your Client Norms**

The Participant undertakes to maintain the "Know Your Client" details of the Client as mentioned in the Client Registration Form or any other information pertaining to the Client in confidence and that it shall not disclose the same to any person/authority except to the AI or as required under any law/regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

**17. Reconciliation of Account**

The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

**18. Return of Securities and Lending Fees**

Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -

- a) The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.
- b) The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

**19. Delivery of Securities**

Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –

The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

**RIGHTS OF THE CLIENT**

**20.** Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

- a) The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
- b) The Client shall be entitled to receive lender's fee for the securities lent.

**21.** Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

- a) The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.
- b) The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

**22.** Notwithstanding any other provisions of the said Agreement and this Rights & Obligations Document, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme,

Circulars of SEBI, SLBS and the Circulars issued thereunder.

#### OBLIGATION OF THE CLIENT

23. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the said Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

24. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 15 hereto, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

25. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

26. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the details provided by the Client to the Participant at the time of its registration with the Participant and also as provided in the said relevant documentation/s required for participating in SLBS.

27. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

28. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

29. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the requirement of AI or SEBI from time to time.

30. Exposure/Position Limits

The Client agrees to abide by the exposure/position limits, if any, set by the Participant or the AI or SEBI from time to time.

31. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

32. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

33. Insolvency

The Client agrees to immediately furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

34. Cancellation of Transactions

Notwithstanding anything contained in the said Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

35. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

#### ARBITRATION


36. The Participant and the Client shall co-operate with each other and/or the AI in redressing their grievances in respect of transactions under the SLBS.

37. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

#### GOVERNING LAW AND JURISDICTION

38. In relation to any legal action or proceedings to which the AI is a party, the Participant as well as the Client irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

39. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

Signature of Client: (45) 
Equity/Cash Trading No. (UCC)
Permanent Account No. (PAN):
Name of the Client:

#### Confirmation of Receipt of executed documents


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

Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of following documents by me/us:

1. Account Opening Form
2. Policies and Procedures
3. Rights and Obligations
4. Risk Disclosure Document
5. Guidance Note - DO's & DON'Ts
6. Rights and Obligations of Bo & Dp
7. Investor Charter for Stock Broking and Depository Participants
8. Trading Account tariff sheet and Charges for Depository Services
9. All other mandatory & voluntary documents as executed by me/us

(46)

Signature of Client: 

===== ( Please Tear here ) =====

Received nomination from:

#### ACKNOWLEDGEMENT RECEIPT

DP ID	1	2	0	2	9	0	0	0	0	Client ID	0	0							UCC	
Name																				
Address																				
Nomination in favour of																				
First Nominee																				
Second Nominee																				
Third Nominee																				
No Nomination	<input type="checkbox"/> Does not wish to nominate																			
Registration No.											Registered on	D	D	M	M	Y	Y	Y	Y	

For RRS SHARES & STOCK BROKERS PVT LTD

(Authorised Signatory)

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KEPT BLANK**



# Shares & Stock Brokers

Member: Central Depository Services (India) Limited  
National Stock Exchange of India Limited  
Bombay Stock Exchange Limited  
SEBI Regn. No. INZ 000257533  
For CDSL IN-DP-703-2022  
CDSL BO Id: 12029000

## CLIENT REGISTRATION APPLICATION FORM

### FOR NON-INDIVIDUAL

NSE: CASH, F&O, DP & BSE: CASH

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

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

CDSL Bo Id : \_\_\_\_\_

Name of stock broker/ trading member/clearing member	<b>RRS SHARES &amp; STOCK BROKERS PVT LTD</b>
SEBI Registration No. and date	For NSE INZ 000257533 & Dated: 05-09-2000 For BSE INZ 000257533 & Dated: 11-07-2019 For CDSL IN-DP-703-2022 (Depository Participant)
SEBI Email id	scores@sebi.co.in
Registered office & Correspondence office address:	24/B, Raja Bahadur Mansion-II, 114, Raja Bahadur Compound, 114, Ambalal Doshi Marg, Fort, Mumbai - 400 001. Tel No.: 91-22-61829200/9203/9204/9206/9209/9212/9213 For Demat Section: 91-22-61829209/222
Compliance officer name: phone no. & email id:	<b>Ketan M Shah</b> 91-22-61829213 • <b>ketan@rrs.in (Trading)</b> • <b>hitanshu@rrs.in (Dp)</b>
CEO name: phone no. & email id:	<b>Hitanshu R Shah</b> 9821029148 • <b>hitanshu@rrs.in</b>

For any grievance/dispute please contact **RRS SHARES & STOCK BROKERS PVT LTD** at the above address or email id: [grievance@rrs.in](mailto:grievance@rrs.in) and Phone no. 91-22-6182 9213. In case not satisfied with the response, please contact the concerned exchange(s) at on BSE Tel: 022 2272 8097 E-mail Id: [is@bseindia.com](mailto:is@bseindia.com), on NSE Tel: 1800220058 • E-mail Id: [ignse@nse.co.in](mailto:ignse@nse.co.in), on CDSL Tel: 1800225533 • E-mail Id: [complaints@cdslindia.com](mailto:complaints@cdslindia.com) and on SEBI for filing complaints on SCORES Tel.: 1800 266 7575 or 1800 22 7575 • <https://scores.sebi.gov.in>

**Dealing Office:** 411, P J Tower, BSE Bldg, Fort, Mumbai - 400001  
Tel No.: 91-22-61821109, 61821125, 91-22-22672678, 22679055  
E-mail: [hitanshu@rrs.in](mailto:hitanshu@rrs.in) • Website: [rrsshare.com](http://rrsshare.com)

RISK CATEGORY of Client	RISK ASSIGNED	AUTHORISED SIGNATORY
Category A-Low Risk		
Category B-Medium Risk		
Category C- High Risk		

