Reference No. _____

Application Form for Opening a

Trading Account / Demat Account

☐ **CDSL** ☐ **Trading Account**

☐ **INDIVIDUAL** ☐ **NON - INDIVIDUAL**

NAME : _____

_____

_____

ACCOUNT NO. : _____

RR Equity Brokers Private Limited
412-422, Indraprakash Building,
21, Barakhamba Road, New Delhi-110001
Telephone: +91-11-23354802 **Email:** rrstock@rrfcl.com
SEBI Regn. No.: INZ000270435
Registration Date: July 03, 2019
BSE: Member code : 3056
NSE: Member code : 12196
MSEI: Member code :39100
CDSL: IN-DP-239-2016

Clearing Member Information
Globe Capital Market Limited
SEBI Regn No: INZ000177137
CIN: U74100DL1985PLC021350
NSE TM Code: 06637 Clg No : M50302

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specially exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter lD card / Driving license.
3. Identity card/document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C Proof of Address (POA): List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

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

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/-p.a.
5. In case of institutional clients, namely, Flls, Mfs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

ADDITIONAL IMPORTANT POINTS

F. General

1. All correction made on the form should be attested (counter signed) by the client.
2. Please ensure that the form is properly filled up, complete in all respects, attached with copies of required documents, and incase any filled is "Not Applicable" please mentioned accordingly.
3. All correspondence/queries shall be addressed to the first/sole applicant.
4. If the signature on the form and the proof provided differs, the form will be liable for rejection.

G. Any one of the following documents for proof of Bank Account.

1. Copy of a cancelled Cheque Leaf with name of the account holder preprinted on it.
2. Bank pass book having name and address of the account holder and latest transaction pages being not more than 3 months old.
3. Bank statement having name and address of the account holder being not more than 3 months old.
   In case of option (ii) and (iii) above MICR/IFSC code of the branch should be present/mentioned on the document and it should be self certified by the BO.

H. Any one of the following document for proof of Demat account.

1. DP client Master List with DP stamp or logo (not more than 6 months old)
2. Recent Demat Holding Statement which must contain specific Client ID, Client Name, DP ID and DP Name. (not more than 6 months old)

I. In case of NRI & Foreign National (allowed to trade subject to RBI and FEMA guidelines), additional documents to be obtained from them, over & above the POI & POA, as mentioned below:

1. Permission for dealing in Securities (PIS approval) from Authorized Dealer (Bank) with NRE/ NRO Bank proof.
2. Declaration duly signed by the NRI as per the format attached

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

Copy of latest ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip not more than 2 months old / Copy of Form 16	Net worth certificate duly certified by Chartered Accountant
Bank account statement for last 6 months	Any other relevant documents substantiating ownership of assets.
Self declaration of Net Worth (Assets-Liabilities) with relevant supporting documents for each item mentioned in declaration.	

Disclosure Information

In compliance to SEBI circular No SEBI/MRD/SE/Cir-42/2003 dated 19.11.2003 and NSE circular reference No NSE/INVG/PRE/2003/16 dated 25.11.2003 and BSE circular reference No 20031125-7 dated 09.09.2023

This is to inform you that we do client based trading and Pro-account trading in National Stock Exchange of India Ltd/Bombay stock Exchange Ltd.

Individual Account Opening Form (Trading /Demat)

RRStock (RRStock is Trade Name of RR Equity Brokers Private Limited)

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

Sr. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Receipt	Receipt of account opening form.	1
2	Account Opening Form	CKYC form - Document captures the basic information about the constituent and an instruction/check list for filling CKYC form.	2 - 5
3	Fatca Decleration Form	Document captures the Fatca decleration.	6 - 7
4	Nominee Form	Document for Nominee or Trading and DP	8 - 10
5	Trading and Demat Account Related Details	Document captures the additional information about the clients relevant to Trading and Demat Account	11 - 15
6	BROKERAGE /TARIFF /DDPI	BROKERAGE STRUCTURE FOR TRADING ACCOUNT. TARIFF SHEET FOR DEMAT ACCOUNTS OF CDSL. DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION.	16 - 18
7	Authorization of running account / request letter	Letter of Authority /request to RRStock (RR Equity Brokers Private Limited)	19
8	Additional content	Letter for Authorization for electronic contract notes.	20
9	Additional content	Consent letter for availing BSE Star MF facility / Recipt of account opening form.	21
10	Declaration	NRI Declaration	22
11	Policies and Procedures	Document describing significant policies and procedures of the stock broker	23 - 26
10	Intimation of money laundering	This document is to make the client aware of Anti Money Laundering (AML) Provisions.	
12	Voluntary Terms & Conditions	Additional Terms & Conditions other than those prescribed by SEBI / Exchanges to avail various broking and depository services by the Client.	27 - 38
13	Rights and Obligations Trading / DP	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). / Document stating the Rights & Obligations of Depository Participant and Client for availing DP Services.	39 - 45
14	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the Securities Market.	46 - 49
15	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	50 - 51
15	Freezing of Client	Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients	52
16	SMS Alerts from CDSL	Terms And Conditions-cum- Registration/ Modification Form for receiving SMS Alerts from CDSL	53 - 54
17	Terms & Conditions for doing transaction using Trust	Terms and Conditions for doing transaction using secured texting facility (Trust) through mobile. / Authorization for account modification.	55 - 56
18	Additional Content	Additional Content (2)	57 - 58

NOTE : USE SEPARATE KRA FORM FOR SECOND AND THIRD HOLDER

REGISTERED OFFICE ADDRESS

RRStock

RR Equity Brokers Private Limited
55, 1st Floor, Near Flyover
Near Neelam Chowk NIT
Faridabad-121001, Haryana

Compliance Officer
Mr. Narender Kumar Yadav
Telephone: +91-11-4444-1111
Email: compliance@rrfcl.com

DELHI OFFICE ADDRESS

RRStock

RR Equity Brokers Private Limited
412-422, Indraprakash Building,
21, Barakhamba Road, New Delhi-110001
Telephone: +91-11-23354802 **Email:** rrstock@rrfcl.com
SEBI Regn. No.: INZ000270435
Registration Date: July 03, 2019
BSE: Member code : 3056
NSE: Member code : 12196
MSEI: Member code :39100
CDSL: IN-DP-239-2016

Clearing Member Information
Globe Capital Market Limited
SEBI Regn No: INZ000177137
CIN: U74100DL1985PLC021350
NSE TM Code: 06637 Clg No : M50302

For any grievance/ dispute please contact **RRStock** at the above address and/ or email id: rrequity@rrfcl.com and/ or Phone No. +91-11-4444-1111. In case you are not satisfied with the response, please contact the concerned exchange(s) at National Stock Exchange of India Limited at [ignse@nseindia.com and Phone No. 1800-220-058] and Bombay Stock Exchange Limited at[is@bseindia.com and Phone No. +91-22-2272-1234/33, Fax No. +91-22-2272-3677].

Receipt of Account Opening Form

To,

KYC TEAM

RRStock

412-422, Indraprakash Building,

21 Barakhamba Road, New Delhi-110001

Dear Sirs,

Re: Account Opening Form No._____

This has reference to my/our captioned Account Opening Form which I / we have submitted to you duly filled up along with all the supporting documents.

I/We hereby acknowledge the receipt of copy of the Account Opening Form.

Thanking you,

Yours truly,

Name of the client:

Client Signature ✍

RR EQUITY BROKERS PVT LTD
412-422, Indraprakash Building
21, Barakhamba Road, New Delhi, 110001

CKYC & KRA KYC Form

Know Your Client Application Form (For Individuals only)

(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Modification KYC ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction **A** at the end)

PAN Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

Photo

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

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country _____ Country Code

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

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

Signature/ Thumb Impression

2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

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

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

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

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

Proof of Address*

☐ Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ Voter ID Card

☐ Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ Aadhaar Card

☐ NREGA Job Card

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

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

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

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

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

Email ID

Mobile — Tel. (Off) — Tel. (Res) —

5. FATCA/CRS Information (Tick if Applicable) ☐ Residence for Tax Purposes in Jurisdiction(s) Outside India (Please refer instruction **B** at the end)

Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence* Country Code of Jurisdiction of Residence as per ISO 3166

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

Place / City of Birth* Country of Birth* Country Code as per ISO 3166

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Zip / Post Code* State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* Country* Country Code as per ISO 3166

6. Details of Related Person (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

☐ Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

☐ Proof of Identity [PoI] of Related Person* (Please see instruction (**H**) at the end)

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

☐ A- Passport Number Passport Expiry Date D D — M M — Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D — M M — Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

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

7. Remarks (If any)

8. Applicant Declaration

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: D D — M M — Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. Attestation / For Office Use Only

Documents Received ☐ Certified Copies

KYC Verification Carried Out by *(Refer Instruction I)*

Date D D — M M — Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

In-Person Verification (IPV) Carried Out by *(Refer Instruction J)*

Date D D — M M — Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name

Code

Emp. Branch

[Institution Stamp]

Instructions/Guidelines for filling Individual KYC Application Form

General Instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCICard and overseas address proof is mandatory.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. 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.

A. Clarification / Guidelines on filling 'Identity Details' section

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

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

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/services code/number, and resident registration number)

C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. 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.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

D. Clarification / Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, 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; 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; and Credit cards/Debit cards issued by Banks.

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

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, 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; 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; and Credit cards/Debit cards issued by Banks.

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

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

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

1. Provide KYC number of related person if available.

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

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

I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
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.
6. Government authorised officials who are empowered to issue Apostille Certificates.

J. List of people authorized to perform In Person Verification (IPV):

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code
Andaman & Nicobar	AN
Andhra Pradesh	AP
Arunachal Pradesh	AR
Assam	AS
Bihar	BR
Chandigarh	CH
Chattisgarh	CG
Dadra and Nagar Haveli	DN
Daman & Diu	DD
Delhi	DL
Goa	GA
Gujarat	GJ
Haryana	HR

State / U.T	Code
Himachal Pradesh	HP
Jammu & Kashmir	JK
Jharkhand	JH
Karnataka	KA
Kerala	KL
Lakshadweep	LD
Madhya Pradesh	MP
Maharashtra	MH
Manipur	MN
Meghalaya	ML
Mizoram	MZ
Nagaland	NL
Orissa	OR

State / U.T	Code
Pondicherry	PY
Punjab	PB
Rajasthan	RJ
Sikkim	SK
Tamil Nadu	TN
Telangana	TS
Tripura	TR
Uttar Pradesh	UP
Uttarakhand	UA
West Bengal	WB
Other	XX

List of ISO 3166 Two-Digit Country Code

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

FATCA/CRS Annexure - Individuals (including sole-proprietors)

(Applicable for Resident and Non-Resident Customers)

Date _____ Place _____ AOF Reference Number _____

Details under FATCA / CRS			
Please fill the information below as requested	FIRST ACCOUNT HOLDER	SECOND ACCOUNT HOLDER	THIRD ACCOUNT HOLDER
Name of the Account Holder			
Customer ID			
Residence Address for Tax purpose (including city, state, country and pin code)			
Address Type: 1- Residential or Business, 2- Residential, 3-Business, 4-Registered Office			
Mobile/ Telephone Number (incl ISD and STD code)			
Date of Birth (DD-MON-YYYY)			
City of Birth			
Country of Birth			
Nationality (if of more than one country, please mention all the countries separated by a comma)			
Gender (Male, Female, Others)			
PAN			
Father's Name (mandatory if PAN not provided)			
Aadhar Number (optional)			
Spouse's Name (optional)			
Identification Type- Documents submitted as proof of identity of the individual			
Identification Number - for the identification type mentioned above (mandatory if PAN or Aadhaar not provided)			

Are you a tax resident of any country other than India?

First Account Holder ☐ Yes ☐ No Second Account Holder ☐ Yes ☐ No

Third Account Holder ☐ Yes ☐ No

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below

ACCOUNT HOLDER DETAILS	NAME OF THE CUSTOMER	COUNTRY(IES) OF TAX RESIDENCY*	TAX IDENTIFICATION NUMBER (TIN)**	IDENTIFICATION TYPE (TIN or other, specify)**
First Holder				
Second Holder				
Third Holder				

*** To also include USA, where the individual is a citizen / green card holder of USA**

**** In case Tax Identification Number is not available, please provide functional equivalent**

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.

FIRST/SOLE HOLDER SIGNATURE	***SECOND HOLDER SIGNATURE***	***THIRD HOLDER SIGNATURE***
X		

DATE (DD/MM/YYYY) |_|_|_|_|_|_|_|_| PLACE _____

FATCA/CRS Terms & Conditions

The Central Board of Direct Taxes has notified Rules 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 purpose 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 RR Equity Brokers Pvt Ltd 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.

FATCA/CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If your are a US citizen or resident or green card 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 a tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case the customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below

FATCA/CRS INDICIN OBSERVED (Ticked)	DOCUMENTATION REQUIRED FOR CURE OF FATCA/CRS INDICIN
U.S. place of birth	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes. 2. Non-US passport or any non-US government issues document evidencing nationality or citizenship (refer list below) AND 3. Any one of the following documents: a. Certified Copy of Certificate of Loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or why the customer did not obtain U.S. citizenship at birth
Residence/mailing address in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes. 2. Documentary evidence (refer list below)
Telephone number in a country other than India (and no telephone number in India provided)	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes. 2. Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India	1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America not a resident for tax purposes. 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body*
2. Valid indentification issued by an authorized government body* (e.g. Passport, National Identity Card, etc.)

* Government or agency thereof or a municipality.

Annexure-A

Nomination Form

[Annexure A to SEBI circular No. SEBI/HO/OIAE/OIAE_IAD-3/P/CIR/2026/12676 dated May 29, 2026 on Mandatory Nomination for Eligible Trading and Demat Accounts]

RR Equity Brokers Private Limited 412-422, Indraprakash Building 21 Barakhamba Road New Delhi-110001	FORM FOR NOMINATION (*To be filled in by individual applying singly or jointly*)

Date	D	D	M	M	Y	Y	Y	Y	UCC/ DP ID	I	N							Client ID								

I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our demise, as trustee and on behalf of my / our legal

Nomination Details

	Mandatory Details						Additional Details ****	
	Name of nominee	Share of nominee (%)**	Relation ship	Postal Address	Mobile number & E-mail	Identity Number ***	D.o.B. of nominee	Guardian
Nominee 1								
Nominee 2								
Nominee 3								

***Joint Accounts:**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as
Demise of all joint holders simultaneously – having nominee	Nominee
Demise of all joint holders simultaneously – not having nominee	Legal heir(s) of the youngest holder

**** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').**

***** Provide only number: PAN or Driving License or Aadhaar (last 4 digits). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.**

****** to be furnished only in following conditions / circumstances:**

- **Date of Birth (DoB): please provide, only if the nominee is minor.**
- **Guardian: It is optional for you to provide, if the nominee is minor.**

1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows; (please tick, as appropriate)

○ **Name of nominee(s)**

○ **Nomination: Yes / No**

2) **Signature(s) – As per the mode of holding in demat account(s)**

Name(s) of holder(s)		Signature(s) of holder /	Signature of two witnesses*	Name of Witness & Address
Sole / First Holder (Mr./Ms.)				
Second Holder (Mr./Ms.)				
Third Holder (Mr./Ms.)				

*** Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.**

$Rights, Entitlement and Obligation of the investor and nominee:

- **You can make nomination or change nominee any number of times without any restriction.**
- **You are entitled to receive acknowledgement from the DP for each instance of providing or changing nomination.**
- **The signatories for this nomination form shall be as per mode of holding in the demat account(s) i.e.**
  - **'Either or Survivor' Accounts - any one of the holder can sign**
  - **'First holder' Accounts - only First holder can sign**
  - **'Jointly' Accounts - all holders have to sign**

Transmission aspects

- **DPs shall transmit the account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.**
- **In case of a joint account, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.**
- **Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the DP.**

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% Share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Declaration Form for opting out of nomination

[Annexure A to SEBI circular No. SEBI/HO/OIAE/OIAE_IAD-3/P/CIR/2026/12676 dated May 29, 2026 on Mandatory Nomination for Eligible Trading and Demat Accounts]

RR Equity Brokers Private Limited 412-422, Indraprakash Building 21 Barakhamba Road New Delhi-110001	FORM FOR NOMINATION (*To be filled in by individual applying singly or jointly*)

Date	D	D	M	M	Y	Y	Y	Y	UCC/ DP ID	I	N						Client ID								

DP ID								
Demat account								

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my our demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account.

Name and Signature of Holder(s)*

1. 2. 3

Witness details*

*** Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature**

TRADING AND DEMAT ACCOUNT RELATED DETAILS

A. BANK ACCOUNT DETAILS

Name of the Bank		
Branch Address & Tel. No.		
Bank Account No.		
Bank Code (9 digit MICR Code)		
Account Type (Savings/Current/Others in case of NRI-NRE/NRO/PIS)		
IFSC Code (11 digit IFSC Code)		

B. DEPOSITORY ACCOUNT DETAILS

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

C. TRADING PREFERENCES

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

Exchanges	NSE, BSE & MSEI			
All Segments	Cash / Mutual Fund	F&O	Currency	Debt

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

_____. _____ _____

_____ _____ _____

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/authorized persons in charge of dealing in securities during the last 3 years:

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name			
SEBI Registration number			
Registered office address			
City	Pin Code	State	Country
Tel. (with STD Codes)	Fax : (with STD Codes)	Website :	

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/ sub-brokers, provide details of all - use separate sheets for the same)

Name of Stock Broker		Name of Sub-Broker, if any	
Client Code		Exchange	

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

F. ADDITIONAL DETAILS

Whether you wish to receive ☑ Electronic Contract Note (ECN) ☐ Physical Contract Note

Whether you wish to avail of the facility of internet trading/wireless technology (please tick) ☐Yes ☐No

Number of years of Investment/Trading Experience ☐ Stock ☐ Derivatives ☐ Others

Occupation (Please tick (✓) any one and give brief details):
☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please Specify) _____

Name of Employer / Establishment

Address of Employer / Establishment

Educational Qualification

Gross Annual Income Details Please tick (✓) :☐Below 1 Lac ☐1-5 Lac ☐5-10 Lac ☐10-25 Lac ☐> 25 Lacs

OR

Net-worth in ₹ (*Net worth should not be older than 1 year) as on (date) d d / m m / y y y y

Please tick, if applicable : ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

Any other Information : _____

G. OTHER DETAILS

Whether the Mobile number provided by you is used by you and belongs to :
☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents

Whether you wish to receive SMS and Email Alerts sent by Stock Exchanges. ☐ SMS ☐ Email ☑ Both

Your Email ID, if applicable (as given in KRA)

Whether the Email ID provided by you is used by you and belongs to :
☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents

Additional FATCA detail

➢ Nationality		➢ Country Of Residence	
➢ Country Of Birth		➢ Country of Tax Residence	

➢ In case even one of 4 above are other than INDIA or Indian, Applicant need to fill the FATCA annexure.

INSTRUCTION TO OPERATE DEMAT ACCOUNT

Status	Sub – Status
☐ Individual	☐ Individual Resident ☐ Individual-Director ☐ Individual Director's Relative ☐ Others (specify) ☐ Individual Promoter ☐ Individual HUF / AOP ☐ Individual Margin Trading A/C (MANTRA) ☐ Minor
☐ NRI	☐ NRI Repatriable ☐ NRI Non-Repatriable ☐ NRI Repatriable Promoter ☐ NRI – Depository Receipts ☐ NRI Non-Repatriable Promoter ☐ Others (specify)

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] If not marked, default option would be 'Yes'	☑ Yes ☐ No
Account Statement Requirement ☑ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I / We instruct the DP to accept all the pledge instructions in my / our account without any further instruction from my / our end (if not marked, the default option would be 'No')	☑ Yes ☐ No
I / We would like to Share the Email ID with the RTA	☑ Yes ☐ No

I / We would like to receive the annual report ☐ Physical ☑ Electronic ☐ Both Physical & Electronic
(Tick the applicable box : If not marked the default option would be in Physical)

I/We request you to send Electronic Transaction / Cum Holding statement at Email ID _____ (as given in KRA)

Basic Services Demat Account Facility ☐ Yes (Please sign the BSDA Declaration) ☑ No	
I/We wish to receive dividend/interest directly in to my bank A/c through ECS (If not marked the default option would be "Yes") [ECS is mandatory for locations notified by SEBI from time to time]	☑ Yes ☐ No
SMS Alert Facility Mobile No. _____ Refer Terms & Conditions on page no. 41-42 (Mandatory, If you are giving Power of Attorney, If POA is not granted & you do not wish to avail of this facility, cancel this option)	☑ Yes ☐ No

Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions on page no. 43-44	I /We wish to avail the TRUST facility using the Mobile Number registered for SMS alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my / our below mentioned BO ID registered for TRUST		☐ Yes ☑ No
	Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

Easi, To register for easi, Please visit our Website www.cdslindia.com. Easi allows a BO to view this ISIN balance transactions and value of the Portfolio, online.

I wish to opt for CAS Facility through Email	☐ Yes ☐ No

DIS BOOK OPTION (Select Any One)

OPTION 1 ☐

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Power of Attorney (POA) in favor of RRStock for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

OPTION 2 ☐

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA in favor of RRStock for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

H. INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer	FIRST NAME	MIDDLE NAME	LAST NAME
Status of the Introducer	☐ Sub-broker ☐ Remisier ☐ Authorized Person ☐ Existing Client ☐ Employee ☐ Others please specify		
Address of the Introducer			
City	Pin Code	State	Country
Tel. (with STD Codes)			
PAN of the Introducer		✍ Signature of the Introducer	

JOINT DEMAT ACCOUNT HOLDER INFORMATION

❍ Second Holder's Details	PAN		UID	
FIRST NAME	MIDDLE NAME	LAST NAME		
❍ Third Holder's Details	PAN		UID	
FIRST NAME	MIDDLE NAME	LAST NAME		

DETAILS OF GUARDIAN IF FIRST / SOLE DEMAT ACCOUNT HOLDER IS MINOR

Name of the Guardian	FIRST NAME	MIDDLE NAME	LAST NAME
Relationship with the applicant		PAN	

I. NOMINATION FORM FOR TRADING AND DEMAT ACCOUNT *

I/We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

❑ I/We do not wish to nominate any one for this Trading / Demat account. OR

☑ I/We nominate the following person who is entitled to receive funds & securities lying in my/our account, particulars whereof are given below, in the event of my/our death.

Name of Nominee FIRST NAME MIDDLE NAME LAST NAME

Relationship with the Client		PAN of Nominee		UID	
Address of the Nominee					
City	Pin Code	State	Country		
Tel. (with STD Codes)	Fax. (with STD Codes)	Mobile	Date of Birth (dd/mm/yyyy)		

As the nominee is a minor as on date, to receive the funds & securities in this account on behalf of the nominee in the even of the death, I/we appoint following person to act as Guardian:			
Name of the Guardian FIRST NAME	MIDDLE NAME	LAST NAME	
Address of the Guardian			
City	Pin Code	State	Country
Tel. (with STD Codes)	Fax. (with STD Codes)	Email ID	
Date of Birth (dd/mm/yyyy)	Age Years	Signature of the Guardian ✍	
This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.			

* You can made upto three people as your nominee. In case you want to make more than one person as your nominee, please fill the separate nomination form attached along with this client registration documents.

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/ 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,received and understood the contents of the,
   i. 'Rights and Obligations' document(s) (Page No.29-33).
   ii. 'Risk Disclosure Document' (Page No 34-37).
   iii. Guideline Notes (Page No. 38).
   iv. Rights and Obligations of the Beneficial owner and Depository Participant (Page No. 39-40).
   v. Terms and Condition for doing transaction using secured texting facility (Trust) through mobile. (Page No. 41- 42).
   vi. Terms And Conditions-cum- Registration/ Modification Form for receiving SMS Alerts from CDSL (Page No. 43-44).

   and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP/Broker any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action. I have also been informed that the standard set of documents has been displayed for information on website www.rrstock.in

Name of Sole / First Holder Or Guardian (in case of minor)	**Name of Second Joint Holder**	**Name of Third Joint Holder**
to be signed in BLACK ink ✍ First/Sole Holder / Guardian (In case of Minor)	to be signed in BLACK ink Second Holder ✍	to be signed in BLACK ink Third Holder ✍
WITNESSES 1 Full Name & Address	WITNESSES 2 Full Name & Address	
✍ Signature of 1st Witness	✍ Signature of 2nd Witness	

BROKERAGE STRUCTURE FOR TRADING ACCOUNT:

CASH SEGMENT Brokerage	in% (subject to max. of 2.5%) {Both Side}	Minimum Paise (subject to max. 25 paise) {Both Side}
Delivery Based		
Daily Square up		

DERIVATIVE SEGMENT Brokerage	in% (subject to max. 2.5% / ₹100/- Per Lot) {Both Side}	Minimum Paise/ Per Lot {Both Side}
Future		
Option		

CURRENCY DERIVATIVES		
Brokerage	Brokerage per lot (in ₹)	{Both Side}
Future		

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (TRANFER, PLEDGE & FREEZE)

❑ Jointly	❑ 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**.

❑ first Holder	❑ All Holder	Email id
	☐ Second Holder	
	☐ Third Holder	

✍ to be signed in BLACK ink
First Holder

✍ to be signed in BLACK ink
Second Holder

✍ to be signed in BLACK ink
Third Holder

TARIFF SHEET FOR DEMAT ACCOUNTS OF CDSL

Individual and HUF (AMC Yearly)	Rs.250/- Plus GST Charges.
Individual and HUF (Life Time)	Rs. 1500/- Plus GST Charges.
Others Non-Individual (AMC Yearly)	RS 1250/- Plus GST Charges.
Common Charges Applicable for All	
On Market Transaction	Rs. 20/- per Instruction or 0.02% of value, which is higher
Off Market Transaction	Rs. 35/- per Instruction or 0.02% of value, which is higher
Dematrialization Charges	Rs. 50/- Plus Rs. 5/- per certificate Plus Postage Charges
Dematrialization Rejection Charges	Rs. 25/- per Certificate Plus Postage Charges
Rematrialization Charges	A. Rs. 25/- for every hundred securities viz. shares/debentures/bonds etc. or part thereof Or B. Rs. 25/- per certificate. whichever is higher.
Pledge Charges (Creations/Closure/Invocation/Confirmation of Pledge/Closure confirmation etc.)	Rs. 50/- per transaction
Securities Borrowings	Rs. 50/- per instruction
Conversion of MF units (SOA to Demat)	Rs. 50/- per ISIN
Reconversion of MF units (Demat to SOA)	Rs. 100/- per ISIN
Redemption of MF Units	Rs. 15/- per ISIN
Account/ISIN (Freezing/Unfreezing)	Rs. 50/- per Request
Issue of Client Master (additional)	Rs. 20/- Plus Postage Charges.
POA Charges including Stamp paper	Rs. 110/- Plus Postage Charges.
DIS Book (10 Leaves)	Rs. 30/- per Book Plus Postage Charges.
DIS Book (10 Leaves) without requisition slip	Rs. 100/- per Book Plus Postage Charges.
Dis Rejection/Failed Instruction Charges	Rs. 10/- per instruction
Modification (Bank Details/Change in Demographic Details/Nomination)	Rs. 50/- per request Plus Postage Charges.
Non-Periodic Statement	Nil by Email and Request for Physical will be charged Rs.150 upto 10 pages and thereafter Rs. 10/- per page for Postage Charges
CAS Charges	As per CDSL
Cheque Bounce Charges	Rs. 500/- Plus GST Charges
For BSDA Accounts Charges	
Value of Holding in the Demat Account (Debt as well as other than debt securities combined)	**Maximum Annual Maintenance Charges**
Up to Rs. 4 Lakhs	NIL
More than Rs. 4 Lakhs but up to Rs 10 Lakhs	Rs. 100/-
More than Rs. 10 Lakhs	Not a BSDA. Regular AMC may be levied.
Services for Basic Services Demat Accounts	a) Electronic statements shall be provided free of cost. b) Physical statement:- Rs.25/- Plus Postage charges c) All other conditions as applicable to regular demat accounts, other than the ones mentioned above, shall continue to apply to basic services demat account.

DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION

NON-MANDATORY

RR EQUITY BROKERS PVT LTD
412-422, INDRAPRAKASH BUILDING, 21 BARAKHAMBA ROAD, NEW DELHI-110001, Date:_____

SUBJECT : DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) AUTHORISATION

I/We _____(Name of the BO) having UCC Code:_____
hold a Demat Beneficiary account no:_____(BO-ID) with Central Depository Service (India) Ltd through RR Equity Brokers Pvt Ltd bearing CDSL: IN-DP-239-2016 and Whereas I am an investor engaged in buying and selling of Securities through RR Equity Brokers Pvt Ltd bearing a member of NSE, BSE & MSEI having SEBI Regd No. INZ000270435 having Corp office: 412-422, INDRAPRAKASH BUILDING, 21 BARAKHAMBA ROAD, NEW DELHI-110001.
For my/our convenience & in Order to facilitate the proper execution of all transactions done by me/us with RR EQUITY BROKERS PVT LTD. I/We hereby agree & authorize RR EQUITY BROKERS PVT LTD to operate my/our Demat/(BO) account(s) opened and mapped with my /our aforesaid Trading Account to transfer/margin pledge/margin re-pledge/margin de-pledge securities from my / our BO account(s) only to RR EQUITY BROKERS PVT LTD BO account(s) and /or Exchange(s) related Pool & Early Pay-IN &Margin Account of RR EQUITY BROKERS PVT LTD specified herein below.

Sr.No	DP ID/CM-BP-ID		Sr.No	DP ID/CM-BP-ID	
1.	IN30011810831176	NSE POOL ACCOUNT-NSDL	6.	1100001100022689	NSE EARLY PAY-IN ACCOUNT
2.	IN30011811103493	BSE POOL ACCOUNT-NSDL	7.	1100001000015356	BSE EARLY PAY-IN ACCOUNT
3.	1204230000191109	NSE POOL ACCOUNT-CDSL	8	1204230000191890	TM-POOL ACCOUNT
4.	1204230000025625	BSE POOL ACCOUNT-CDSL			
5.	1204230000189701	MARGIN PLEDGE ACCOUNT-CDSL			

Please further note that while I/We am/are entitled to revoke this DDPI authorization any time, by sending signed physical letter of revocation though Regd/Speed post at your above address. I/We agree that till time my/our revocation request will be processed and updated in your records, RR EQUITY BROKERS PVT LTD will continue to be authorized to transfer/margin/pledge/margin re-pledge/margin de-pledge securities under this DDPI authorization against my/our obligation if any, in my/our captioned trading/demat account.

S.NO	Purpose	Signature of client*
1.	Transfer of Securities held in BO accounts of the client, towards Stock Exchange(s) related deliveries/ settlement obligations arising out of trades executed by clients on the stock Exchange through the same stockbroker	_____ Signature of First Accountholder Name_____ _____ Signature of Third Accountholder Name_____ _____ Signature of Second Accountholder Name_____
2.	Pledging/re-pledging of securities in favor of the trading member (TM) /Clearing member (CM) for the purpose of meeting margin requirement of the such meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	_____ Signature of First Accountholder Name_____ _____ Signature of Third Accountholder Name_____ _____ Signature of Second Accountholder Name_____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	_____ Signature of First Accountholder Name_____ _____ Signature of Third Accountholder Name_____ _____ Signature of Second Accountholder Name_____
4.	Tendering shares in open offer through Stock Exchange Platforms	_____ Signature of First Accountholder Name_____ _____ Signature of Third Accountholder Name_____ _____ Signature of Second Accountholder Name_____

(Note: To be signed by all the accountholders in whose name the Demat Account(s) is/are opened/ to opened & mapped with the trading account having mentioned Unique Code)

Running Account Letter

TO:

RRStock (RR Equity Brokers Pvt Ltd)
412-422, Indraprakash Building,
21 Barakhamba Road, New Delhi-110001

(VOLUNTARY)

Dear Sir,

Sub: Maintenance of my/our account on a running account basis.

Notwithstanding anything contrary I hereby request you to maintain my accounts with you on a running basis. I may not be in a position to settle my trades within the exchange specified settlement schedule. Hence, I request you to open running account with you. In this connection, I understand and agree to the following:

1. You can retain the funds with you, received as pay-outs from the exchanges on my behalf. The same can be used towards margins for my future transactions or outstanding positions, if any.
2. You can retain the securities with you, received as pay-outs from the exchanges on my behalf. The same can be used towards margins/ collaterals for my future transactions or against outstanding positions, if any.
3. In case of any sale transactions done by me, you can automatically, deliver the shares to the exchange towards pay-in, out of my shares if any lying with you, on my behalf.
4. In case of any purchase transactions done by me/us, you can automatically, make the funds pay-in to the exchange, out of the credits lying in my account, on my behalf.
5. To retain the securities received by RRStock from me on my behalf from the Exchange(s) on pay-out or otherwise for my debit balance/dues/exposure/ trading limits/open interest/various margin or for any other purpose as and when required by RRStock or as per any regulations of the Exchange(s). Such retaining/ holding of securities shall be construed as due compliance of the requirement of the Exchange(s) and SEBI. Further, RRStock has the sole discretion and authority (i) to use/ transfer the above securities to the clearing corporation/clearing member/professional clearing member /exchange(s)/banks or other entities for the purpose of early pay-in/margin/additional base capital/raising of finance against these securities or otherwise; (ii) to dispose/sell the above securities to meet any monetary/other dues/obligation(s) not fulfilled by me/us towards RRStock/the Exchange(s).
6. In case of any debit balance, in my account, you can square of my securities, held with you by me, to the extent of my debit balance, without any notice to me/us.
7. In case I require funds or securities, I will inform you of the same in writing, after which you can make the payments / transfer the securities to me.
8. I will not hold RRStock responsible for any loss/damage arising out of such transfers and or sale done by RRStock, on my behalf, pursuant to these instructions.
9. No interest will be paid to me for maintaining running account with RRStock, on the credit balance available in my account.
10. This running account authorization shall continue to be in force until it is revoked by me/us by giving notice in writing to RRStock at its office at RRStock (RR Equity Brokers Private Limited) 412-422, Indraprakash Building 21, Barakhamba Road, New Delhi-110001
11. I / we may revoke this authorization at any time. However, anysuch revocation shall come in to effect only after such revocation in writing is received by RRStock at its aforesaid office under proper acknowledgement, to process the revocation and make necessary changes in its records/systems cancelling the authorization. Notwithstanding any such revocation, all actions taken by RRStock pursuant to this authorization prior to its cancellation as aforesaid shall be fully valid and effective and shall be binding on me/us.

Settlement of funds and securities on ☑ Quarterly ☐ Monthly

I/we understands and agrees to the above.

Thanking you,
Yours faithfully,

Client Signature ✍

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

TO:

RRStock

412-422, Indraprakash Building,

21 Barakhamba Road, New Delhi-110001

SUB: Authorization for Electronic Contract Notes

I have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

EMAIL ADDRESS :

I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.

I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me.

I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.

I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.

Yours faithfully,

Client Signature ✍

CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

TO:

RRStock

412-422, Indraprakash Building,

21 Barakhamba Road, New Delhi-110001

I/We_____am/are registered as your client with Client Code No._____and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

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

For the purpose of availing the BSE StAR MF 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 BSE StAR MF 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 BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

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

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

I/We therefore request you to register me/us as your client for participating in the BSE StAR MF.

I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

First Holder	Second Holder	Third Holder

NRI DECLARATION

(This page is applicable to only NRI client)

To

KYC Department
RRStock

Dear Sir

With reference to my/our trading and or demat account, kindly note that I have complied and shall continue to comply with Foreign Exchange Management Act 1999 and the rules and regulations issued there under and other applicable laws In addition to the above kindly note our foreign residential address is as follows:

to be signed in BLACK ink

Residential address of 1st holder: _____

Residential address of 2nd holder: _____

Residential address of 3rd holder: _____

In case of any change in the above I/We would update RRStock by complying with the applicable procedure.

Thanking you,

Yours faithfully,

✍ to be signed in BLACK ink	✍ to be signed in BLACK ink	✍ to be signed in BLACK ink
First Holder	Second Holder	Third Holder

Dear Investor!!

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities like selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrument or a part of the chain, even if unknowingly or ignorantly, may invite trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities Exchange Board of India (SEBI), which includes a Member broker / Sub-Broker, Authorized Person and any other intermediary associated with securities market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

For further details, kindly visit our website: www.rrstock.in

In pursuance to the SEBI circular Ref MIRSD/SE/CIR-19/2009 dated 03.12.2009 various policies and procedures followed by **RRStock** (RR Equity Brokers P. Ltd.) are stated below under appropriate headings

A. Refusal of orders for penny stock:

RRStock shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stocks, illiquid stocks, stocks having low liquidity, illiquid "options", far month "options", writing of "options", stocks quoting below Rs.10/- stocks in S, Z and B2 category and any other contracts which in RRStocks's perception are extremely volatile or may possibly be subject to market manipulation.

RRStock may permit restrictive acceptance of orders in such scrips/contracts in controlled environments like orders received from clients being forwarded by branches to a centralized desk at HO instead of allowing trading in such scrips/Contracts at branch level or through Online trading platform. RRStock shall not be responsible for any delay or failure in execution of such orders and any consequential opportunity loss or financial loss to the client.

RRStock may at its absolute discretion cancel ordersin such scrips received from clients before execution or after partial execution without assigning any reasons its thereof. RRStock may take appropriate declarations from the clients before accepting such orders.

RRStock shall have the prerogative to place such restrictions, notwithstanding the fact that the client has adequate credit balance or margin available in his account and/or the client had previously purchased or sold such securities / contracts through RRStock itself.

B. Setting up Clients Exposure limits:

The client is liable to pay applicable initial margins, exposure margins, special margins, var margins and such other margins as are considered necessary by RRStock 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. RRStock in its sole and absolute direction may collect additional margin (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.

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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate / require.

Subject to the client meeting the margin obligations, RRStock will normally give the exposure, equivalent to a pre-determined multiple/times of the net credit balance in the ledgers (across all segments), and the value of the collaterals given by the client (after applying appropriate hair cut). The level of exposure granted to the client will also depend on the track record of the client and/or market conditions and/or regulatory directives. The client agrees to abide by exposures norms decided by RRStock from time to time.

The client understands and agrees that the client cannot claim any minimum level of exposure, as a matter of right.

The client agrees that, RRStock has the discretion to decide the stocks which can be provided as margin/collateral. In case of shares given as margin/ collateral by the client, RRStock has the right to apply appropriate hair cut, at their sole discretion, while arriving at the value of the collateral shares.

The valuation of the shares given as margin / collateral will depend on the shares offered and/or market conditions and/or the track record of the client's dealings with RRStock. The client will not have any objection on the hair-cut percentage decided by RRStock, from time to time. The client understands and agrees to the same.

The client understands and agrees that, under normal market situations, the previous day's closing price will be taken as the base price for arriving at the value of the securities and the same will be done on a continuous basis. However, during volatile market conditions, RRStock has the discretion to change the valuation method while arriving at the value of the shares given as margin/collateral.

However RRStock reserves the right, at its sole discretion, to modify the level of exposure to be given to a particular client and/or change the method of calculating the exposure, without giving any advance notice to the client. The client understands and agrees to the same.

The client understands and agrees that the level of exposures, granted by RRStock, may vary from client to client and the client will not question the same.

In case RRStock changes the exposure policy, the same would be intimated to the concerned branches / subbrokers. The client also agrees to get in touch with the concerned branch / subbroker, on a daily basis, to keep track of any such changes.

The client also agrees to abide by the exposure limits, if any, set by the RRStock or by the Exchanges / Clearing Corporation or SEBI from time to time.

C. Brokerage, Statutory Levies & other charges:
Brokerage shall be applied as per the rates agreed upon with the client in the KYC executed at the time of registration of the client and any modifications made subsequently through a written communications between the client and RRStock. The client agrees to pay to RRStock 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 RRStock renders to the client. RRStock agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye -laws of the relevant Stock Exchange/SEBI.

Statutory LEVIES and Other Charges
An indicative list of statutory levies and other charges that would be levied to the client is given below

- Service Tax (ST) will be charged at rate prevailing from time to time on total value of brokerage and turnover / transaction charges.
- Securities Transaction Tax (STT) at rate prevailing from time to time on the turnover
- SEBI turnover charges at rate prevailing from time to time on the turnover.
- Transaction Charges (BSE /NSE) will be charged at rate prevailing from time to time on the turnover.
- Applicable Stamp Duty charges as per transaction (delivery and non-delivery) would be levied on turnover.
- Delayed Payment charges not exceeding 2% per month.
- Cheque return charges of Rs. 250/- will be debited for each instance.
- Penalties levied by Exchange in relation to the action / trades of the client
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc., at actuals
- SEBI / Exchange/Clearing Member Turnover charges

In addition to the above if the client has also availed the demat services of RRStock, the client would also have to pay the following charges, the details of which have also been provided in the tariff sheet enclosed to the Client registration form:
DP Account documentation charges
DP Annual maintenance charges
DP Transaction charges / Pledge / Re-pledge / Demat / Remat charges
DP Inter settlement charges, etc.

D. Imposition of penalty/delayed payment charges payable by client:
In the event that any amount is overdue from clients towards trading either in the cash or derivative segments or on account of any other reason to RRStock, from time to time the client shall be charged delayed payment charges at the rate of 2% per month or such other rate as may be determined by RRStock. the client also authorizes RRStock to directly debit such charges to client's account at the end of each month. The client also authorizes RRStock to debit charges for depository services to the client's trading account. The client also agrees that any amount overdue from the client (including the delayed payment charges) shall be adjusted by RRStock from the dues owed to the client by RRStock or conversely, any money owed by RRStock to the client shall be offset against the dues owed by the client to RRStock. Delay payment charges shall not be treated as funding by RRStock

Penalties levied by Exchanges:
Exchanges may levy various penalties on the member brokers on auction resulting from short deliveries, non adherence to client-wise exposure limits, client-wise shortfall in F&O Margin and for other reasons defined by the Exchange from time to time. RRStockis therefore authorized by the client to pass on any penalty imposed by the Exchange/SEBI and or any other regulatory authority to the client, which arises on account of the client.

E. RRStock right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues to the extent of settlement /margin obligation:
The client agrees and undertakes that it shall settle the transactions, within the settlement time specified by the Exchange, by making the requisite payment and/or delivery of the shares.

In case the client fails to settle the transactions within the settlement date, then RRStock has the discretion to square off the open positions, at an appropriate time, as it deems fit, without any notice to the clients. That the client does not have the right to decide on the timing or the open positions that need to be closed. The client understands and agrees and undertakes that it will not hold RRStock responsible for any loss or damages arising out of such square offs.

After square offs of open position by RRStock, as mentioned above, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, RRStock shall have the right to liquidate the shares of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client also agrees that it does not have the right to decide on the timing of such liquidation of collateral/margin shares and the shares that need to be sold. The client undertakes that it will not hold RRStock responsible for any loss or damages arising out of such selling

Without prejudice to RRStock's other rights (including the right to refer a matter to arbitration), RRStock 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.

F. Internal Shortages and Close Out of Shares :

- In case any person buy shares in a settlement and sells it in next settlement or before receiving pay out from the exchange, then it will be the responsibility of the client to bear any auction or close out in case the shares are not received on pay out.
- In case shares sold by a client are not delivered by him and the shares are purchased by any other client of the RRStock resulting in internal shortage, the same will be closed out as per the auction of the relevant settlement in the Exchange or as per the prevalent policy i.e. @ 1 % above the highest of the Sell price of the seller or buy price of the buyer or closing price of the buyer or auction price as per the Exchange.
- Similarly, the client who had bought the shares and is supposed to receive shares will be given credit for such shares at the rate so arrived at.

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:

Under circumstances, such as the, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with RRStock within permissible time limit or beyond such period as may be allowed by RRStock as per its RMS policy. The Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding. RRStock can firstly setoff or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, may not allow the client to take further / fresh position. Further, it would be the duty of the client to monitor his/her/its position with RRStock from time to time. In case of any delay or failure in meeting any obligation, margin requirements from client side, RRStock may at its absolute discretion close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client Such circumstances may include (but not limited to):

(i) Failure to meet pay-in obligation on T day,
(ii) Delay in meeting the pay-in or margin requirement,
(iii) Delay or failure in clearance of trade related outstanding or dues to the broker,
(iv) Dishonor or frequent returning of cheques of the client,
(v) As per the RMS policy of the Broker,
(vi) Any direction from SEBI/Exchange or other statutory, governmental or regulatory authorities,
(vii) Under such other circumstances as RRStock may think just and proper on case to case basis

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

RRStock may carry out a periodic review of the client's accounts and may suspend the trading rights of any client in the following circumstances:

- Where the client has not cleared the naked or uncovered debits which are more than 7days' old.
- Excessive speculations by the client
- Physical contract notes are received back undelivered due to reasons like "no such person", "addressee" left, refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or any other circumstances which may create reasonable suspicion about the bonafides of the client or its transactions.
- ECN failed (Bounced email) on more than 3 instances
- Non delivery of the Statement of Account sent on periodic basis.
- Non updation of communications details viz., email id, Mobile no, Land line details or it is found to be belonging to a third person.
- Client lodges a compliant either directly with RRStock or through Exchange relating alleged unauthorized Trades being executed in the account. (account will be temporarily suspended pending investigation)
- On receipt of notices from statutory, Government or Local authorities and Income Tax, Service Tax, a Judicial or a Quasi Judicial authority, etc
- Where a client is reported to or as known to have

expired.

RRStocks may also suspend the account based on the written request received from the client. The client requests in the letter to remit funds out of the clear credit balance to their account.

If client wants to trade again in the future written request is taken from the client to re-open the account along with all required formalities.

I. Deregistering a client:

- Action is initiated by SEBI/NSE/BSE against the client or client included in the list of debarred entities published by SEBI.
- On basis of information found in sites of CIBIL, Watch out investors, world check or client having suspicious back ground, link with suspicious organization, etc.,
- In addition to the above if any of the events mentioned under "Temporary suspension by RRStock", RRStock reserves the right to de-register the client without further intimation.

J Disclosure of Proprietary Trades of RRStock:

- RRStock has disclosed that it only undertakes clientele business and does not undertake any proprietary trades in its own account.

K Non Acceptance of Cash Receipts and Payments:

- RRStock has disclosed that receipts from clients would be only by cheque / RTGS fund transfers / demand drafts / pay order only in the name of RR Equity Brokers Private Limited.

L. Treatment of Inactive Account:

Any client who has not traded for last 365 days in any segment of any Exchange with RRStock then that client code will be made inactive and will be kept in dormant mode. Trades in Dormant account are verified by RRStock through Client Confirmation by way of letter or telephone calls or payment made / received for the transaction. After the client is made inactive his / her / its funds and securities if any available with RRStock will be settled at the end of the quarter in which his/her/its trading account is made inactive.

Note :

These Policies and Procedures may be amended / changed unilaterally by the member to meet the regulatory norms / directives as amended from time to time. These Policies and Procedures shall always be read together with this KYC and shall be mandatorily referred while deciding any complaint / claim / dispute between the Client and the Member before any Court of Law / Judicial/Adjudicating Authority including but not limiting to an arbitrator / mediator etc.

First Holder's Signature **Second Holder's Signature** **Third Holder's Signature**

In addition to the 'Rights and obligations' document, Rights and obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories, the Client and RRStock(RR Equity Brokers Private Limited) and Sub Broker / Authorised Person (If applicable), as defined in the schedule have agreed to the terms and conditions contained in this as mentioned below to ensure smooth functioning of the operations in the courseof trading/investing in securities by the Client through RRStock. Now, therefore, inconsideration of the mutual understanding as set forth in this below, the parties thereto have agreed to the following terms and conditions. The Client understands that the following terms and conditions are voluntary and are required in order to ensure smooth functioning of the Operations in the course of trading /investing in securities by the Client through RRStock.

1. STATEMENT OF ACCOUNTS
   I/We hereby request you that the ledger statements in respect of transactions entered into by me/us on any of the segments of any of the Stock Exchange/s be combined for my/our convenience and the payments received and paid by you be appropriated on a first-in-first out basis.
2. ORAL INSTRUCTIONS
   You are requested to kindly accept our verbal instruction to place, modify and cancel the orders on telephone or orally during my/our visit to your office and not insist for the same in writing. I undertake that all the orders placed by me/us with you will be on my/our own account and not on behalf of my/our clients.
3. TAPE RECORDING OF CONVERSATION
   I/We agree that you may tape-record the conversations between me/us and/or my/our representative and you, either personally or over the telephone, and hereby specifically permit you to do so. You may rely upon such recordings as and when required to resolve disputes, if any, in connection with the trading transactions.
4. TERMS AND CONDITIONS GOVERNING TRADING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE
   RRStock is also registered in the process of registering with Association of Mutual Funds of India(AMFI) as a Mutual Fund Distributor. RRStock is therefore providing the facility through its online services to apply / purchase / redeem / sale / buyback or otherwise deal in the units of Mutual Funds and securities (here in after referred to as Transactions) through its website as defined above And whereas the client is desirous of availing the facility of the said transactions and such other facilities offered through RRStock website.
   1. The client shall authorize RRStock by executinga Power of Attorney in the favour of RRStock to execute instructions of the Client or its authorized representative given by the Client / its authorized representative shall be binding on the client.
   2. The instructions with regard to the transactions may be given through internet or telephone or any other reasonable mode as permitted by RRStock.
   3. The client undertakes to read all the relevant offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings / Public offers, Rights issue and Buy Back offers, offered through RRStock website; before entering into any transactions through the website and agrees to abide by the terms, conditions, rules and regulations as applicable from time to time.
   4. The client agrees that RRStock is entitled to disclose to third party/regulatory authorities, all such information pertaining to the client as may be required from time to time, for the client to be able to avail of any or all of the services provided by RRStock under these documents.
   5. The client agrees that the Client shall not, without prior intimation and acknowledgements of RRStock, deal /liaise with the issuer Company / Mutual Fund / Asset Management Company or its respective Registrars in respect of the services availed under the Voluntary clauses.
   6. The client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the client may not be permitted to transact till the folio number is allotted. RRStock does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.
   7. The Client can view his/her / its transactions on the website.
   8. RRStock shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund / Registrar to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may been delivered
   9. The client agrees to provide RRStock with any confirmation / declaration or any other document that the concerned Issuer / Asset Management Company or any other entity may from time to time require RRStock to collect from the client in respect of the service offered under the voluntary clauses.
   10. Neither RRStock, nor any of the Mutual Funds/ nor the issuer shall be liable for any failure to perform its obligations, to the extent that such performance had been delayed, hindered or prevented by systems failures network errors, delay or loss of data due of the aforesaid, acts of God, floods, epidemics, quarantine, riot or civil commotion and war.
   11. RRStock shall provide its services on a best efforts basis. However in respect of mutual funds, other securities, including but not limited to initial Public offering, Right issue, Buy Back offers offered through its website RRStock shall not be liable for any failure or for any loss, damage or other costs arising in any way out of:
       a) System failure including failure of ancillary or a associated systems, or fluctuation of power, or other acts of God/ force majeure;
       b) Accident, transaction, neglect, misuse,

errors, frauds on the part of Client or any agent of the client or agents or any third party, or

c) Any fault in any attachments or associated equipments of the client.

d) Any incidental, special or consequential damages including without limitation of loss of profit.

12. The Client further agrees that RRStock shall not be held responsible for non-allotment of securities either fully or partly to the client, for any reason whatsoever. RRStock shall not be held responsible in case due to some reason the bid / application /revision instructions sent by the Client is not received by it, or if the bid/application /revision could not be uploaded to the Stock Exchange or could not be sent to the Bankers/Registrar to the issue

5 TERMS RELATING TO THE USE OF THE ONLINE TRADING SERVICE

The Member's web site www.rrstock.in or anyother web-site through which the service may be provided at the sole discretion of the Member (the "Web-Site") is a product and service provided by the Member. The Member offers its services and the Web Site for use in accordance with the Terms and Conditions of Use (the "Terms") contained herein and as may from time to time be put up on the Web Site. The use of the Web Site is conditional upon and subject to, acceptance of and compliance with, the Terms.

1. DEFINITIONS

1) Unless the context otherwise requires, the following words shall have the meanings as given hereunder:-

I. "Demat Account" means the account opened by the client with RRStock or other Depository Participant with which RRStock shall have arrangement for on-line transfer of securities, being a depository participant for holding securities in their dematerialized form.

II. "the Exchange" means the National Stock Exchange of India Limited (NSE)and /or the Bombay Stock Exchange Limited (BSE) as the case may be, and includes a segment of the Exchange.

III. "Exchange Provisions" means the Rules, Bye-laws, Regulations, Business requirement, Specifications, handbooks, notices, circulars and resolutions of the Exchange or any segment of the Exchange in force from time to time and includes The requirements for Internet based Trading through Order Routing System prescribed by the Exchange, as amended from time to time.

IV. "Stock Broker" or " the Stock Broker" means RRStock. RRStock is trade name of RR Equity Brokers Private Ltd, incorporated pursuant to section 12(1) Limited Liability Partnership Act 2008 having registered office at 55,1st point, Near Somnath, Dabhel, Nani - Daman - 396210, UT of Daman & DIU and registered as Clearing cum Trading Member of the National Stock Exchange of India Limited (NSE) and the Bombay Stock Exchange Limited (BSE).

V. "Internet Trading" means Internet based Trading through Order Routing System, being a system approved by the Exchange for enabling clients to route their orders to their Stock Broker over the internet.

VI. "Internet Based Trading Account Application" means the application submitted by the Client to the Stock Broker to permit the Client to avail of the Stock Broker's Internet Based Trading Service.

VII. "Internet Based Trading Service" or "Service" means the service offered by the Stock Broker to its clients through its Internet Based Trading Web-site whereby the clients can route their orders for purchase, sale and other dealings in securities through the Stock Broker's Internet Based Trading System.

VIII. "Margin Amount" means the limit, based upon the margin deposit, up to which the client is allowed to trade through the Internet Based Trading Service, which shall be decided by the Stock Broker and /or as may be notified by SEBI and/or the Exchange/s from time to time.

IX. "Margin Deposit" means the funds transferred by the Client from the Margin Deposit Bank Account, from time to time, to an Account of the Stock Broker maintained by the Stock Broker with the Bank, specifically for the purpose of establishing the Margin Amount and trading on the Exchange through the Internet and /or as may be required to be collected from the Client as per the Exchange Provisions.

X. "Margin Deposit Bank Account" means an ordinary resident rupee account of the Client maintained with such Bank/s as may from time to time be specified by the Stock Broker, specifically for the purpose of establishing and maintaining the Margin Deposit.

XI. Stock Broker's Internet Based Trading System" or "Stock Broker's Internet Based Trading Web Site" means the web site hosted by the Stock Broker on the internet through which the Stock Broker offers the Internet Based Trading Service and includes the hardware and software used for hosting and supporting the Web Site.

XII. "Password" means an alphanumeric code used by the Client to validate his/her username and access the Service.

XIII. "SEBI" means the Securities and Exchange Board of India.

XI V." Username" means the login identification allotted by the Stock Broker to the Client for accessing the Service.

2) In this headings are used for convenience and ease of reference only and shall not affect the construction or interpretation of any provision of this Client Registration Documents.
3) In this unless the context otherwise requires, reference to the singular includes a reference to the plural and vice-versa, and reference to any gender includes a reference to all other genders.
4) In this unless the context otherwise requires, references to Recitals and Clauses shall be deemed to be a reference to the recitals and clauses of this Client Registration Documents.
5) References to any enactment are to be construed as referring also to any amendment or re-enactment thereof and to any rule, bye-law, regulation, business requirement, specification, order or other provision made under it.

2. INTERNET BASED TRADING FACILITY
1) The Stock Broker agrees to provide the Stock Broker's Internet Based Trading Service to the Client, and the Client agrees to avail of the Stock Broker's Internet Based Trading Service, on and subject to the terms and conditions , the Exchange Provisions and the terms of the Stock Broker's Internet Based Trading Web Site.
2) The Client expressly agrees that one of the conditions to the activation of the Internet Based Trading Account is the Client complying with the requirements of the Stock Broker in respect of the system established and /or to be established by the Stock Broker and any changes made therein from time to time to maintain the security of the Internet Based Trading Account.
3) Upon receipt of the required information and necessary documents, to the satisfaction of the Stock Broker, an Internet Based Trading Account shall be opened for the Client.
4) On Internet Based Trading facility being made available for the Client for transmission of his/her orders, the Stock Broker will intimate the same to the client and dispatch the Internet Based Trading password to him/her. The client accepts that after receipt of the password only he/she will be able to access Internet Based Trading facility and that all clauses contained in these presents relating to the use of Internet Based Trading facility for transmission of orders shall become applicable and effective only after the Client is intimated about the availability of the said facility by the Stock Broker.
5) The Internet Based Trading Account will enable the Client to trade in securities on the Exchange through the Internet. The Client will be able to enter his order details and directly place his trade through the Internet. The Order shall be sent through the Internet and V-SAT / leased line network to the Exchange's trading system.
6) In case any kind of faults/failure in the Internet Trade Order Routing System arise due to technical or any other reasons, the client shall have option to place the order by telephone, or any other reasonable mode. Where the client has opted for the orders to be placed by the above mode, the client shall be solely responsible for the orders placed by the Stock Broker on his behalf.

3. USER NAME AND PASSWORD
1) The Client will be entitled to a username and password, which will enable him to access the Stock Broker's Internet Based Trading System for availing of the Service.
2) The Client is aware that the Stock Broker's Internet Based Trading System itself generates the initial password and that the Stock Broker is aware of the same. The Client agrees and undertakes to change his initial password immediately upon first entry in to the Internet Based Trading System using such initial password. The Client is aware that subsequent passwords created by the Client are not known or available to the Stock Broker.
3) 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 Internet Based Trading System using the Client's Username and/or Password whether or not such person was authorised to do so.
4) The Client shall immediately inform the Stock Broker of any unauthorised use of the Client's Username or Password with full details of such unauthorised use including the date of such unauthorised use, the manner in which it was unauthorisedly used, the transactions effected pursuant to such unauthorised use, etc.
5) Client acknowledges that he/she/it is fully aware of and understands the risks associated with availing of a service for routing orders over the internet including the risk of misuse and unauthorised use of client's Username and/or Password by a third party and the risk of a person hacking into client's account on Stock Broker's Internet Based Trading System and unauthorisedly routing orders on behalf of client through the System. Client agrees that he/she/it shall be fully liable and responsible for any and all unauthorised use and misuse of his/her/its Password and/or Username and also for any and all acts

done by any person through Stock Broker Internet Based Trading System on client's Username in any manner whatsoever.

6) Client shall log off from the Internet Based Trading System at any time that he/she/it is not accessing or using the Service and any liability incurred to him/her/it as a consequence of client's not logging off the Service shall be borne solely by him/her/it.
7) Without prejudice to the provisions of Clause 3.5, Client shall immediately notify Stock Broker in writing with full details if:
   I. Client discovers or suspects unauthorised access through client's Username, Password or account,
   II. Client notices discrepancies that might be attributable to unauthorised access,
   III. Client forgets his/her/its password or
   IV. Client discovers a security flaw in Stock Broker Internet Based Trading System.
8) In any of the above events specified in Clause 3.7, the Client shall immediately change his Password. However, if the Client is unable to change his Password by reason of his having forgotten his Password or his Password having been unauthorisedly changed by some other person or for any other reason then the Client shall immediately request Stock Broker in writing to discontinue his old Password; and thereupon the Stock Broker shall cause the Stock Broker's ITORS System to discontinue the use of Client's old Password and the Stock Broker's ITORS System shall generate a new Password for the Client which shall be communicated to the Clients. At no point in time shall the Stock Broker be liable for any loss, whether notional or actual, that may be suffered by the Clients on account of the misuse of the Password.

4. TRANSACTIONS AND SETTLEMENTS
   1) All orders for purchase, sale or other dealings in securities and other instructions routed through Stock Broker INTERNET BASED TRADING System via client's Username shall be deemed to have been given by him/her/it.
   2) The orders and instructions routed by him/her/it through Stock Broker Internet Based Trading System and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.
   3) Stock Broker may from time to time impose and vary limits on the orders that which Client can place through Stock Broker Internet Based Trading System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). Client is aware and agrees that Stock Broker may need to vary or reduce the limits or impose new limits urgently on the basis of Stock Broker risk perception and other factors considered relevant by Stock Broker, and Stock Broker may be unable to inform him/her/it of such variation, reduction or imposition in advance. Client agrees that Stock Broker shall not in any way be responsible for the consequences of such variation, reduction or imposition or client's inability to route any order through Stock Broker Internet Based Trading System on account of any such variation, reduction or imposition of limits. Client understand and agree that Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict client's ability to place orders or trade in securities through Stock Broker.
   4) Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by him/her/it on Stock Broker Internet Based Trading System, Stock Broker shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.
   5) Client agrees that Stock Broker may, at its sole discretion, subject any order placed by him/her/it to manual review and entry, which may cause delays in the processing of client's order or may result in rejection of such order.
   6) In the case of a market order, Client agrees that he/she/it will receive the price at which client's order is executed by the Exchange's computer system; and such price may be different from the price at which the security is traded when client's order is entered Stock Broker's Stock Broker Internet Based Trading System.
5. MARGIN

   The Client agrees and undertakes to immediately deposit with the Member such cash, securities or other acceptable security, which the Member may require as margin. The Client agrees that the Member shall be entitled to require the Client to deposit with the Member a higher margin than that prescribed by the Exchange. The Member shall also be entitled to require the Client to keep permanently with the Member a margin of a value specified by the Member so long as the Client desires to avail of the Member's Internet Based Trading Service.
6. CANCELLATION REQUESTS
   1) When Client places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if client's request for cancellation is received and the order is successfully cancelled before it is executed.
   2) Client shall not be entitled to presume an order as having been executed or cancelled until a confirmation to that effect is received by him/her/it from Stock Broker or through the System.
   3) The Exchange may annul a trade suo-moto without giving a reason therefore. In the

event of such annulment, Stock Broker shall be entitled to cancel the relative contract(s) with him/her/it.

7. BROKERAGE, COMMISSIONS AND FEES
   1) The Client agrees to pay the Member brokerage, commission, fees, service tax and other taxes and transaction expenses as they exist from time to time and as they apply to the Client's account and transactions, and the services that he receives from the Member.
   2) A schedule of brokerage, fees and commissions, applicable service and other taxes and other transaction expenses shall be provided by the Member to the Client from time to time upon request by the Client.
8. CONFIRMATIONS
   1) Online confirmations will be available to the client upon execution or cancellation of an order placed by him through the Member's Internet Based Trading System. This shall be followed by confirmation, which may be sent by postal mail, by electronic mail or other electronic means. It is the responsibility of the client to review upon first receipt, whether delivered to him online or by postal, by electronic mail, or other electronic means, all confirmations of transaction or cancellation.
   2) The Stock Broker has obtained digital signature certificate from Certifying Authority under the IT Act, 2000 and can issue Contract Notes authenticated by means of digital signatures, in terms of the provisions of SEBI Circulars dated 15.12.2000, 29.4.2003 and 8.9.2005.
   3) The issue of Electronic Contract Notes shall be governed by the provisions of the Additional Conditions for Electronic Issuance of Contract Notes stipulated by SEBI vide Circular Ref. MRD/DoP/SE/Cir-20/2005 dated September 8, 2005 which are as under:
      I. Issuing ECNs when specifically consented
         The digitally signed ECNs may be sent only to those Clients who have opted to receive the contract notes in an electronic form, either in the Stock Broker Client Registration Documents / Tripartite Registration Documents or by a separate letter. The mode of confirmation shall be as per the Client Registration Documents entered into with the Clients.
      II. Where to send ECNs
         The usual mode of delivery of ECNs to the client shall be through e-mail. For this purpose, client shall provide an appropriate e-mail account to the Stock Broker which shall be made available at all times for such receipts of ECNs
      III. Requirement of digital signature
         All ECNs sent through the e-mail shall be digitally signed, encrypted, non tamperable and shall comply with the provisions of the IT Act, 2000. In case the ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
      IV. Requirements for acknowledgment, proof of delivery, log report etc.
         a. Acknowledgment
            The acknowledgment of the e-mail shall be retained by the Stock Broker in a soft and non-tamperable form.
         b. Proof of delivery
            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 and shall be made available during inspection, audit, etc.
            The Stock Broker shall clearly communicate to the Client in the Client Registration Documents executed with the Client for this purpose 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.
         c. Log Report for rejected or bounced mail.
            The log report shall also provide the details of the contract notes that are not delivered to the Client/ e-mails rejected or bounced back. Also, the Stock Broker shall take all possible steps (including settings of mail servers, etc) to ensure receipt of notification of bounced mails by the Stock Broker at all times within the stipulated time period under the extant regulations of SEBI / Stock Exchanges.
      V. When to issue or send in Physical mode
         A. Issue in Physical mode
            In the case of those Clients who do not opt to receive the contract notes in the electronic form, the Stock Broker shall continue to send contract notes in the physical mode to such Clients.
         B. Send in Physical mode
            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.

VI. General requirements

a. ECNs through website

In addition to the e - mail communication of the ECNs in the manner stated above, in order to further strengthen the electronic communication channel, the Stock Broker shall simultaneously publish the ECN on his designated web-site in a secured way and enable relevant access to the Clients.

b. Access to the website

In order to enable clients to access the ECNs posted in the designated website in a secured way, the Stock Broker shall allot a unique user name and password for the purpose, with an option to the Client to access the same and save the contract note electronically or take a print out of the same.

c. Preservation/Archive of electronic documents

The Stock Broker shall retain / archive such electronic documents as per the exchange rules / regulations /circulars/guidelines issued by SEBI/Stock Exchanges from time to time.

9. ARRANGEMENTS WITH RELATIONSHIP BANKS

1) Stock Broker may at its discretion offer Electronic Payment Gateway for Net Banking to selected clients in collaboration with one or more banks with whom Stock Broker have a relationship (the "Relationship Bank"). Client agree that in order to be eligible for Electronic Payment Gateway for Net Banking Client would need to be a current Internet user or have access to the Internet and knowledge of how the Internet works and have Net Banking facility with the Relationship Bank.

2) Stock Broker Web Site may provide a payment window through a link to the website of the Relationship Bank, which provides the facility. In such a case, Client would make the payment for securities/ contracts purchased by him/her/it by crediting the purchase amount (along with the indicated brokerage amount) directly to Stock Broker account with the Relationship Bank by means of a fund transfer on or before the pay- in date of the Exchange. Similarly, in the case where Client sell securities/contracts, Stock Broker would credit the net sale proceeds to the account of him/her/it with the Relationship Bank by means of a fund transfer on the pay- out date of the Exchange.

3) Client distinctly understand and accept that the payment gateway mechanism is a service offered by the banks with which Stock Broker has established relations for facilitating the transfer of funds between Client's account and Stock Broker account. Client hereby acknowledges that he/she/it would be availing the Electronic Payment Gateway for Net Banking service at his/her/its own risk and that these risks would include, but be not limited to, risks relating to misuse of password, internet frauds, mistakes and errors, in fructuous transactions, technology risks, fund transfer limits imposed by the Bank/Stock Broker etc.

4) Stock Broker expressly excludes liability for any loss or damage to him/her/it, which may arise from or in respect of the Electronic Payment Gateway services offered by the Relationship Bank or the payment mechanism as aforesaid.

5) Client shall indemnify Stock Broker against all losses and damages that may be caused as a consequence of breach of any of the Electronic Payment Gateway for Net Banking Terms and Conditions and /or the terms and conditions mentioned herein.

6) If Client executes a Power of Attorney in relation to the operation of client's bank account with the Relationship Bank, Stock Broker is hereby authorized to directly operate client's such bank account to the extent necessary to credit and debit the proceeds / dues from the various transactions that are carried out by Stock Broker on Client's behalf and also to debit (i) Access Charges for the Internet Based Trading Service (ii)depository participant account charges (iii) margin due or shortfall in margin due from him/her/it, and (iv) any other charges or dues from him/her/it to Stock Broker in respect of the contracts admitted for dealing on the Exchange and traded / to be traded on Client's behalf. Client also agrees and shall authorize the bank to transfer the required amount from such bank account against the desired limits and settlement obligations solely on the instructions from Stock Broker in this regard. Client agrees that Client shall at all times maintain sufficient funds in such bank account to meet all client's obligations to Stock Broker as aforesaid. Client further agree that Stock Broker will not be liable in any manner for any loss or claims that may arise due to any transfer of funds that may be erroneously made by the bank.

7) Client agrees that in the event the relationship bank terminates the Client Registration Documents him/her/it in respect of the bank account, for any reason or informs Stock Broker or any misdemeanor or transgression by him/her/it in the operation of the account or in any other circumstance resulting in the closure or in operation of the said bank account with the relationship bank, Stock Broker may, at its discretion terminate services, and Client shall have no remedy therefrom.

10. INVESTMENT ADVICE

1) The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.
2) The Client also acknowledges that the Member's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Member or any of its employees.
3) The Client agrees that in the event of the Member or any employee or official of the Member providing any information, recommendation or advice to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Member shall not be liable or responsible for the same.
4) The Client assumes full responsibility with respect to his investment decisions and transactions.
5) The Member, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

11. REPRESENTATIONS AND WARRANTIES OF CLIENT

Client represents and warrants to Stock Broker that:

1) All the information provided and statements made in client's Registration Form and in the Internet Based Trading Account Application Form are true and correct and are not misleading (whether by reason of omission to state a material fact or otherwise) and Client is aware that Stock Broker has agreed to provide Stock Broker Internet Based Trading Services to him/her/it on the basis, inter alia, of the statements made in client's Registration Form and in the Internet Based Trading Account Application Form.
2) Client expressly agrees to complete and file all forms required by the Exchange/s and/or any governmental or regulatory authority in respect of the trading by him/her/it on the Exchange/s through the Internet Based Trading Account.
3) Client hereby represents and warrants that:
   I. Client is a person resident in India within the meaning of the Foreign Exchange Management Act (FEMA), 1999 or is a Non Resident Indian who is eligible to invest in the Indian securities market in accordance with the RBI approval/ permission and have furnished to Stock Broker his/her/its Indian address and foreign address with proof, copy of the passport, details of NRE bank account, duly verified by the bank, and registered duly notarised Power of Attorney for operation of the account,
   II. Client has the capacity to enter into and execute this Client Registration Documents and/or is not less than 18 years of age
   III. Client has not been convicted of any offence involving fraud or dishonesty
   IV. Client has not been declared insolvent or bankrupt by any court, tribunal or other regulatory body.
4) All representations and warranties made or pursuant hereto shall survive during the entire period of the subsistence of this Account.
5) Client shall abide by the Exchange Provisions and the terms and conditions for Internet Based Trading put up on Stock Broker Web Site in force from time to time.
6) Client is aware and acknowledges that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and Stock Broker Internet Based Trading Service may at any time be unavailable without further notice. Stock Broker and the Exchange do not make any representation or warranty that Stock Broker Internet Based Trading Service will be available to him/her/it at all times without any interruption. Client agree that Client shall not have any claim against the Exchange or Stock Broker on account of any security flaw in Stock Broker Internet Based Trading System or on account of any suspension, interruption, non-availability or malfunctioning of Stock Broker Internet Based Trading System or Service or the Exchange's service or systems for any reason whatsoever.
7) The Client has the required legal capacity to, and is authorised to, enter into this Client Registration Documents and is capable of performing his obligations and undertakings hereunder.
8) All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into pursuant to this with all applicable laws, shall be completed by the Client prior to such transaction being entered into.
9) The Client shall abide by the Exchange Provisions and the terms of the Member's Internet Based Trading Website in force from time to time.
10) Any instructions given by an authorised representative of the Client to the Member (or to the Member's representative) shall be binding on the Client.
11) Stock Broker Web-Site may contain links to other web sites on the World Wide Web Client accepts that Stock Broker is not responsible for their resources or their content or the availability or accuracy or authenticity thereof.

12. REPRESENTATIONS AND WARRANTIES OF THE MEMBER

The Member represents and warrants to the Client that :-

The Member's Internet Based Trading System has

been approved by the Exchange. Where the Internet Based Trading System has not been approved by the Exchange, the Member has applied/ proposes to apply to the Exchange to approve the said Internet Based Trading System and the Member will commence the Member's Internet Based Trading Service only after the Exchange has approved the Member's Internet Based Trading System.

13. MARKET DATA
    1) The Client understands that the Exchange asserts a proprietary interest in all of the market data it furnishes, directly or through the Member or otherwise. The Client understands that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it.
    2) Neither the Member nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the Client acts on the basis of the same, he shall do so at his own risk and cost.
    3) The Client shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the Client uses such information he shall do so at his own risk and cost
14. NOTICES
    1) Any notice or other communication to be given by any party to the other in connection with this Client Registration Documents shall be in writing and shall be deemed duly served if delivered personally or sent by facsimile transmission or by prepaid registered post or by e-mail to the addressee at the address or (as the case may be), the e-mail or facsimile number (if any), of that party set opposite its name in the Schedule below or at such other address, facsimile number or e-mail address as the party to be served may have notified the other in accordance with the provisions of this Clause. Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the Member and the Client may be communicated orally.
15. LIABILITY AND INDEMNITY
    1) Stock Broker shall not be liable for any loss or damage incurred or suffered by him/her/it arising out of or in relation to the Services provided by Stock Broker. Client agrees that Client shall assume full responsibility with respect to all transactions made by him/her/it on the Internet Based Trading Account and relating to Client's investment decisions.
    2) Client agrees and acknowledges that Stock Broker will not provide him/her/it with any legal, tax or accounting advice or advice regarding the suitability or profitability of a security or investment. Further, Client also agrees and acknowledges that Stock Broker's employees are not authorised to give any such advice and that Client will not solicit or rely upon any such advice from Stock Broker or any of its employees. Client expressly agrees and acknowledges that Stock Broker and its officers, directors, employees, agents and affiliates will have no liability with respect to transactions through the Internet Based Trading Account and any trades made by him/her/it.
    3) Client hereby indemnifies and agrees to save and hold Stock Broker and Stock Broker officers and employees, agents and affiliates, harmless from and against all costs, charges, expenses, losses, damages or liabilities (including legal fees and other dispute resolution costs) that Stock Broker or such other persons may suffer or incur consequent to any trading done or trade decisions taken by him/her/it or which may arise from or be relatable to or be attributable to:
        I. Breach of any covenant or representation or warranty made by him/her/it or any inaccuracy therein;
        II. Any breach by him/her/it of any of its obligations under this Client Registration Documents or any other agreement entered into between him/her/it and Stock Broker;
        III. Any violation by him/her/it of any exchange control regulations, in particular the provisions of the Foreign Exchange Management Act (FEMA), 1999, Reserve Bank of India Rules and Regulations and any other applicable laws for the time being in force.
    4) The provisions of this Clause shall survive the termination of this Account.
16. EXTRAORDINARY EVENTS

    The Member and/or its agents will not be liable for losses caused directly or indirectly by government restriction, Exchange or market rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond the Member's control.
17. AMENDMENTS

    The Client understands and agrees that the Member may discontinue his INTERNET BASED TRADING Service in part or in its entirety and change the terms of the Service (including the terms on the Member's INTERNET BASED TRADING WebSite) at any time and from time to time, without prior notice.
18. SEVERABILITY

    In the event of any provisions being held to be or becoming invalid, unenforceable or illegal for any reason, this Client Registration Documents shall remain otherwise in full force apart from

the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

20. WAIVER

No forbearance, relaxation or inaction by any party at any time to require the performance of any provisions shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provisions or be considered to be a waiver of any right, unless specifically agreed in writing.

21. LAW AND JURISDICTION

1) This shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, subject to the provisions of Clause 22, the courts at Daman and Diu, India shall have jurisdiction over this Client Registration Documents and the arbitration proceedings in relation to the Client Registration Documents.
2) This and all contracts and transactions between the Member and the Client pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 1992, the Securities Contracts (Regulation) Act of 1956 and the rules and regulations made thereunder and as amended from time to time.

22. DISPUTE RESOLUTION

Any claim, dispute or difference arising between the Parties hereto in respect of this Client Registration Documents or any contracts, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Client Registration Documents or the interpretation or construction of this Client Registration Documents shall be subject to the grievance redressal procedure of the Exchange and shall be subject to the arbitration procedure as prescribed by the Exchange Provisions.

All trades, transactions and contracts are subject to the Bye-Laws, Rules and Regulations of the Exchange and shall be deemed to be and shall take effect as wholly made, entered into and to be performed in the city of Daman and Diu and the parties to such trade shall be deemed to have submitted to the jurisdiction of the Courts in Daman and Diu for the purpose of giving effect to the provisions of the Rules and Regulations of the Exchange.

6. CLIENT LEVEL BACK OFFICE SOFTWARE

I/We wish to subscribe to the Client Level Back Office Software ("CLBO Software") and avail the facility of viewing online through internet my account details such as transactions, balances, margins etc.("CLBO Facility") .

I /We understand that I / We will be entitled to a Username (login Id) and Password, which will enable me/us to access the CLBO Facility . I/We undertake to immediately change my/our initial Password upon receipt thereof. I am /We are aware that subsequent passwords will be known only to me/us and will not be known or available to anybody else, including you.

I/We agree that I/ We shall be responsible for keeping the Username (login Id) and Password confidential and secure and shall be solely responsible for all access to your back office system by any person whosoever through using my/our Username (login Id) and/or Password whether or not such person was authorised to do so.

7. DIGITAL CONTRACT NOTES

I/We specifically authorize you to make available digitally signed Contract Notes and other documents and also authorize you to send such Contract Notes and other documents to me/us by e-mail. I/We further confirm that I/We do not need any physical Contract Notes when you make these documents available in a digitally signed format and send these documents to me/us by e-mail in accordance with the provisions of SEBI Circular dated December 15, 2000 and the provisions of the Information Technology Act, 2000 and any amendments or modifications thereto or any statutory re-enactment thereof, and the same are received by me/us by e-mail at the e-mail Id provided by me/us.

8. RECEIPT FOR ELECTRONIC COMMUNICATION SERVICES (ECS)

I/We, hereby request and authrorise you to send the following documents pertaining to the above mentioned trading and demat account in electronic mode only in lieu of physical copy:

1. Trading account Bills, contract notes, statement of funds and securities and all other communications.
2. Demat account Transaction cum holding statement and holding statement and other communications.

I confirm that the dispatch of the above referred documents vide an email at the e-mail address as given in Know Your Client, shall constitute full and absolute discharge of your obligation for issuance and dispatch of the above referred documents to me/us.

I reserve my right to receive the physical copy of the above referred documents despite receiving the same in electronic mode, on demand made in writing to you at the registered / corporate office and after complying with the terms and conditions prescribed for the same.

Further, I confirm that any change in the aforesaid e-mail address or any other instructions with regard to dispatch/ service of my above referred documents to me shall not be binding upon you unless you are informed of the same in writing and acknowledged receipt.

In addition to the above I agree and understand that I and RRStock would have to abide by the terms and conditions given below.:

The client has requested and authorised RRStock to provide Electronic Contract Notes (ECN) and all other documents as referred to in the request letter authenticated by means of a digital signature, in lieu of physical copy and in

addition to this send any communication pertaining to Broking and DP operations through any electronic mode of communication including but not limited through the short message services (SMS on the mobile no. provided in the client registration form) RR Stock has agreed to accede to the request after all the necessary arrangements including but not limited to proper software, backup etc. and complying with all the applicable regulatory requirements:

I/We agree to abide by the following terms.

A. RRStock shall send all the documents referred to the consent letter (hereinafter referred to as "the documents") to the E-mail address provided by the Client. The documents sent through e-mail or as an attachment to the e-mail shall be digitally signed, password protected, encrypted, non-tamperable and shall comply with the provisions of the Information Technology Act, 2000.

B. The Client shall access and review the documents and if the Client, does not object or respond either in writing or vide its registered e-mail, within the timeline prescribed by SEBI / Exchanges after such documents have been made available to the Client, the same shall be binding to the Client.

C. The Client will be required to save/print/download the documents and archive or delete the E-mails on a regular basis so as to keep sufficient space in the E-mail account to continue receiving the documents from RRStock.

D. The documents shall be deemed to have been delivered to the Client, if RRStock does not receive a rejection of the same or if the email has not bounced back. If the E-mail has bounced back, then RRStock shall be bound to send the documents in physical form to the Client within the stipulated time period under the extent regulations of SEBI/Stock Exchanges / Depositories.

E. In-order to meet the present regulatory requirement, RRStock shall additionally publish only the document on the web site www.rrstock.in or on any other designated location (specified by RRStock from time to time). In order to view the document, the Client would be given a login and password for which Client shall take necessary steps to ensure confidentiality and secrecy of the login and password and view/save/print the document. The Client is aware that in case his login and password confidentiality/secrecy is compromised the documents may be accessed by other entities.

F. In case Client experiences any difficulty for opening the document which has been delivered electronically by RRStock, RRStock may request from the Client make the required delivery by other electronic means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site) or in a paper based format. Failure to inform RRStock of such a difficulty preferably within 24 hours after delivery of the document shall be construed as an affirmation that client was able to receive and open the said document.

G. In case when RRStock is not able to deliver the documents and or publish the contract notes as sated in term F above, due to any unforeseen reasons/circumstances, RRStock will ensure that the documents are dispatched reach in physical form at the registered address of the Client within the stipulated time period for each of such document as directed by the Stock Exchanges / Depositaries /SEBI.

H. In the absence of a written (Letter/Email/Fax) complaint from RRStock regarding inability to access the system, it would be presumed that all contract notes and all other documents sent electronically have been properly delivered.

I. The Client agrees that any change in the email-id will be communicated by the Client through a letter in writing duly acknowledged by RRStock.

9. INTEREST ON DELAYED PAYMENTS

In the event that any amount is overdue from me/us towards trading either in the cash, derivative, currency derivative segments or on account of account of trade related reason to you. I/We shall be charged delayed payment charges at the rate of 2% per month or such other rate as may be determined by you. I/We hereby authorize you to directly debit the same to my/our account at the end of each month. I/We also authorize you to debit charges for depository services to the trading account.

10. GENERAL LIEN

All monies, securities or other property which you may hold on my/our account shall be held subject to a general lien for the discharge of my/our obligations to you. I/We authorise you to sell or close out any part or all of the derivative contracts held in my/our account with you, if you at your sole discretion may deem it necessary for meeting my/our obligations. Any or all such incidental expenses incurred by you in this connection shall be reimbursed by me/us.

You are entitled to consider any sum or money or security lying to the credit of my/our credit as margin received.

11. CLEAR TITLE

I/We warrant that all or any securities deposited by me/us with you in respect of margin requirements or otherwise, shall be owned by me/us and that the title thereof shall be clear and free of encumbrances.

The securities sold through you on my/our account shall be only those belonging to me/us as legal, rightful and beneficial owner/s. I/We take full responsibility of any dispute regarding the title of the securities sold through you and state that I/We shall deal only in those securities that would be rightly owned by me/us.

I/We agree to immediately furnish information to you in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree is passed against me/us any garnishee order has been served upon

me/us in respect of my/our obligations by a bank or decree or award is passed against me/us or if any litigation which may have material bearing on my/our financial/legal capacity has been filed against me/us.

I/We confirm and undertake that none of the monies paid to or deposited by me/us with you is or shall be tainted with any form of illegality.

12. INFORMATION UPDATION

I/We agrees to provide and continue to provide all details about myself/ourselves as may be required by you including but not restricted to PAN number and state that all the details and facts represented by me/us to you are true.

13. REQUEST FOR RESEARCH REPORTS

I/We understand that RRStock produces fundamental and trading research / notes / trading calls/technical calls, particularly on companies, industry, stock markets, commodity markets and economy from time to time (collectively hereinafter referred to as "material"). I/We hereby request you to provide me/us with such material through email or by access to the website of RRStock or through sms or any other mode on voluntary basis.

By agreeing to receive such material, I/We are aware that this material provided to me/us is only for my/our personal information and I/we undertake that the same shall not be reproduced or redistributed to any other person. I/we understand that this material is not an offer or the solicitation of an offer to buy any security. By sending this material on my request, RRStock or any of its officers, directors, personnel and employees shall not be liable for any loss, damage of any nature, including but not limited to direct, indirect, punitive, special, exemplary, consequential as also any loss of profit in any way arising from the use of this material may not be suitable for all investors. I/We shall, therefore, before dealing and/or transacting in any of the products referred to in this material, make my/our own investigation, seek appropriate professional advice. I/we alone shall be fully responsible/ liable for my/our investments/ disinvestments on the basis of this material.

I/We also agree that RRStock may discontinue providing such material to me/us and that it would have no responsibility to update any information provided to me /us nor does it represent that the information provided in the material is complete.

Further by providing such material RRStock is not acting as my/our portfolio or financial advisor nor does it assume any fiduciary duties.

14. RESPONSIBILITY FOR INVESTMENTS

I/We acknowledge that you shall not be liable to provide me/us with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

I/We also acknowledge that your employees are not authorized to give any such advice and that I/we will not solicit or rely upon any such advice from you or any of your employees.

I/We agree that in the event of your or any of your employees or officials providing any information, recommendation or advice to me/us, I/we may act upon the same at my/our sole risk and cost, and you shall not be liable or responsible for the same.

I/We assume full responsibility with respect to my/our investment decisions and transactions.

You, your officers, directors, partners, employees, agents and affiliates shall have no liability with respect to any of my/our investment decisions or transactions.

15. ERROR REPORTING

I/ We shall bring into your notice any errors/differences/discrepancies (including execution prices, scrips or quantities) in writing within prescribed time period by an electronic mail or fax on receipt of such contract note, bill, statement of funds and/or securities or any communication from you. In all cases you have right to reject or accept my/our objection.

You shall not be responsible for any losses suffered by me/us on account of any late reports, statements or any errors in the report/statements computed by or received from any Stock Exchange.

16. INDEMNIFICATION

I/We shall indemnify and keep you indemnified, saved, defended and harmless from and against all claims, demands, actions, proceedings, loss, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to you directly or indirectly, owing to bad delivery of shares /securities and/or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through me/us during the course of my our dealings / operations on the Stock Exchange(s).

17. NON-WAIVER

No failure or delay by you to exercise any right, power or privilege hereunder shall operate as a waiver nor shall any single or partial exercise of any right, power or privilege preclude you from further exercise thereof or the exercise of any other right, power or privilege granted hereunder.

18. NOTICES

Any communication sent by you to me/us shall be deemed to have been properly delivered or served, even if such communication is returned to you as unclaimed / refused / undelivered, if the same is sent to my /our ordinary business address and / or ordinary place of residence and / or last known address, in any one or more of the usual modes of dispatch used by you.

I/We dispense with the requirement of your sending any communication in physical form. Any communication sent by you in electronic form to my/our known e-mail address shall be binding on me/us.

19. DEFAULT AND CONSEQUENCES THEREOF

I/We agree that I/We shall be deemed to have defaulted the terms of this undertaking in circumstances including but not restricted to the following:

a) any delay in payment of margins, charges of delivery in respect of my/our trading account for transactions executed on my/our behalf.
b) any contravention of the terms contained in this undertaking.
c) any misrepresentation or false statement or omission, or misleading information supplied by me/us to you.

20. FURTHER DOCUMENTATION

I agree to complete any further documentation that may be required in relation to any of the securities dealings or by any of the regulatory authorities or under the policies as may be notified from time to time under any law, regulation, guideline, rule, byelaw, order or other edict having the force of law.

21 GENERAL

The client is informed and satisfied that RRStock undertakes only client trading and does not undertake any proprietary trades in its own account.

RRStock may send the Client Registration documents and copy of any document referred (hereinafter referred to as Registration documents) to the client in physical and or electronic form. The client also agrees and permits RRStock to send the Registration documents through internet (web based).

The client agrees that the charges towards account opening for equity trading and demat is any would be debited to the ledger account of the client after opening the account. The entry reflected in the ledger account of the client would be sufficient acknowledgement of the receipt of the account opening charges.

The Client agrees that he has been made aware and accepts the prevailing RMS policy/all other client level polices of RRStock.

The Client is aware that the Client is required to make full payment to RRStock for the execution of trade. The Client is also aware that upfront margins as demanded by RRStock will have to b paid for executing of the transactions. In the event of non - compliance, the Client explicitly agrees and authoizises RRStock to suspend/deactivate client's account for non-payment of the above stated dues and such trade related as may be due from the Client without giving notice or intimation to the client.

The Client understands that it is its responsibility to review all confirmations, contract notes, statements, notices and other communications, contract notes statements, notices and other communications, including but not limited to margins and maintenance calls etc. All information contained there shall be binding on the Client, if the client does not object, either in writing or via electronic e-mail within the timeline prescribed by SEBI / Exchanges.

The client hereby authorizes RRStock to send information's such trade confirmation, financial ledger balances, research calls etc. and all such commercial communication even though I/we are registered with National Do not call registry established under the Telecom Unsolicited Commercial Communications Regulations 2007 or under the regulation access provider to set up a Customer Preference Registration facility under the Telecom Commercial Communications Customer Preference Regulations 2010.

DECLARATION AND UNDERTAKING

1. I/We confirm having read and understood the content of the "Voluntary Terms and Conditions" document. I/We do hereby agree to be bound by the provisions outlined in these documents.
2. I/We shall not effect any third party transactions.
3. I/We am/are not a Trading Member /Sub Broker / Authorized Person affiliated to the main broker of any of the Exchanges.
4. I/We shall do all the trades as my/our own trades as your client and I/We shall not do trades through you acting on behalf of my /our clients/ Sub Broker / Authorized Person or in any other manner.
5. I/We am/are not an employee of another Trading Member of any Exchange.
6. I/We am/are not expelled/suspended member/broker of any recognized Exchange.

Signatures should be preferably in black ink

Sole / First Joint Holder	Second Joint Holder	Third Joint Holder
Name	Name	Name
to be signed in BLACK ink First Holder ✍	to be signed in BLACK ink Second Holder ✍	to be signed in BLACK ink Third Holder ✍
Date Place	Date Place	Date Place

WITNESSES For Client	
WITNESSES Full Name & Address	✍ WITNESSES Signature
For RRStock	WITNESSES Full Name & Address
✍ Authorised Signature	✍ WITNESSES Signature

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

As prescribed by SEBI and Stock Exchange

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

ADDITIONAL RIGHTS AND OBLIGATIONS

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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e- mail id to the stock broker. The client shall

communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-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. 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, ina 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.

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, $^{\$}$**2018**, 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

Public

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, $^{\$}$**2018** 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. 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$2 days as per procedure specified from time to time by the depository $incase of no outstanding dues and in case of outstanding dues, shall provide 30 days notice. In case of non-payment of dues, DP shall reject the account closure request and in case the dues are cleared by BO, respective account shall be closed by DP within 2 working days of clearing the dues. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the $(BO) 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/ De freezing 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.

25. "The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority".

Redressal of Investor grievance

26. 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

27. 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

28. 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.

29. 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.

30. 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.
31. 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.
32. 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.

33. 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.

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.

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 withina 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 closeouts.

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

i. 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.

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

GUIDANCE NOTE - DO's AND DON'Ts

FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www .exchange.com and SEBI website www.sebi.gov.in.

2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.

3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.

4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.

5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.

6. Obtain a copy of all the documents executed by you from the stock broker free of charge.

7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.

9. Don't share your internet trading account's password with anyone.

10. Don't make any payment in cash to the stock broker.

11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.

12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:

a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.

c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date

of settlement and for next day's business, he may retain funds/ securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.

14. In case you have not opted for maintaining running account and payout 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.

As per NSE circular ref no: NSE/INSP/61529 and SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchange Circular no. NSE/INSP/60277 dated January 16, 2024 on the subject "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients".

Mode of Communication :
1.Client can email from his/her registered e-mail ID to our dedicated email id for this purpose i.e. stoptrade@rrfcl.com
or
2.Client can SMS from registered mobile number on our Mobile no: 9810628421
or
3.Client can call from registered mobile number on our Mobile no: 9810628421

>Further , please note that on receiving such email from our client ,on freezing/blocking such trading account all the pending orders of the said client shall also be cancelled , simultaneously.

>Further , for unfreezing /unblocking of online trading account facility, such client require to make written request and to submit self attested copy of his/her PAN & Adhar Card alongwith his /her request for unfreezing /unblocking of online trading account facility.

>For detailed study and reference about this facility , please go through NSE Cir no: NSE/INSP/61529 as attached and also available on our website https://www.rrstock.in/

Client Code: _____

Client Name: _____

Client Signature: _____

Date:
Place:

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

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

Availability:

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

Receiving Alerts:

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

Fees:

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

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not 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 | | | | | | | | | | | | | | | | |

(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)

Signatures _____ Sole / First Holder _____ Second holder _____ Third Holder

Place: _____ Date: _____

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL

1. Definitions:

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

i. "Depository" means Central Depository Services (India) Limited (CDSL)

ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.

iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.

iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.

v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.

2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository

3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.

4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.

5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.

6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.

7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.

8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.

9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP .

10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
    In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
    Depository shall be absolved of any liability in case:-

    a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.

    b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.

    c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility. .

AUTHORIZATION FOR ACCOUNT MODIFICATION

If I/we were to add/modify/remove any of my detail including brokerage plans with RRStock (RR Equity Brokers Private Limited), I/we authorize you to carry it out based on my request sent through an email to rrstock@rrfcl.com from myregistered email address or intimation through an interface provided by you, whereto I have been allowed secured access.

If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit

Client Signature ✍

AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
☐ NSDL ☐ CDSL		
☐ NSDL ☐ CDSL		
☐ NSDL ☐ CDSL		
☐ NSDL ☐ CDSL		

Thanking you
Yours faithfully

Signature ✍ Client Name

Date __-__-____

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

DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

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

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

MOBILE No. | + | 9 | 1 |

Thanking you,

Yours faithfully,

Signature ✍ Client Name

Date __-__-____

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

FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S / EXCHANGE'S EMPLOYEE

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

This is to state that ..... S/o/D/o .....
R/o.....
..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Thanking you,

Yours faithfully,

Signature _____ Client Name _____

Date __-__-____

AUTHORIZATION FOR SHARING PERSONAL INFORMATION

RR Equity Brokers Pvt. Ltd.
Registered Office: 55, 1st Floor, Near Flyover Neelam Chowk, NIIT, Faridabad - 121001
Phone: 0129-2427367, 2427361

Sir,

I/We have been /shall be dealing through you as my broker on the Capital market and/or future & options segments/ currency Derivative Segments.

I/we want to make investments in Mutual funds, initial public offerings/ follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues / products and to redeem / liquidate any investments and want to give you effect to my / our desires / requirements. In view of the foregoing I / we authorize you to share my / our personal an other information with third parties including your group / related entities so as to receive offers and information on various products / services etc. and I / we agree that any offers / information received shall not be contested on grounds of address / phone included in national do not call registry or any other such restrictive regulations / laws.

Thanking you

Your Faithfully,

Signature: _____ Client Name _____