



Nº 039473

Shares & Securities Ltd

www.rkglobal.net

ACCOUNT OPENING DP FORM

IN-PERSON VERIFICATION

Client Name.....

.....

Code.....

By sign.....

Name of the Employee.....

Date.....

Place.....

Acknowledgement

Date:

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RK Global

Shares & Securities Ltd

Member of DP (NSDL) DP ID : IN302453 / IN302951

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

Ph. : 022-42105555, Fax : 91-22-42105500, E-mail : care@rkglobal.in

With reference to my / our application for opening a depository account, I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	Name	Signature(s) of Account Holder(s)
Sole/First Holder		
Second Holder		
Third Holder		

Acknowledgement

RK Global

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Received the application from Mr/Ms _____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

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Participant Stamp & Signature

Acknowledgement

RK Global

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Participant Stamp & Signature

C. OTHER DETAILS

1	Name, PAN residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors :	If space is insufficient, enclose these details separately (Illustrative format enclosed)
2	DIN of whole time directors :	
3	Aadhaar number of Promoters/Partners/Karta	

D. DECLARATION

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

Name & Signature of the Authorised Signatory(ies) _____ Date

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FOR OFFICE USE ONLY

Originals verified and Self-Attested Documents copies received

Name and Signature of the Authorised Signatory		Seal/Stamp of the intermediary									
Date	<table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>										

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

Sr. No.	Name	Relationship with Applicant <i>(i.e. promoters, whole time directors etc.)</i>	PAN	Residential / Registered Address	DIN of whole time directors /Aadhaar number of Promoters/Partners/Karta	Photograph
1						
2						
3						
4						
5						

Name & Signature of the Authorised Signatory (ies)

Date									
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FORM 11
PART II – ACCOUNT OPENING FORM

(FOR NON-INDIVIDUALS)

Registered Office

Participant Name (DP ID) Address (Pre-printed)	A. K. Global Shares & Securities Ltd. 61, 6th Floor, Mittal Chambers 228 Nariman Point Mumbai-400021	Client –ID (To be filled by Participant)																		
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We request you to open a depository account in our name as per the following details: *(Please fill all the details in CAPITAL LETTERS only)*

A)	Details of Account holder(s):		Date																	
		Name	PAN																	
	Sole/ First Holder																			
	Second Holder																			
	Third Holder																			

B)	Type of account		
	<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII
	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund	<input type="checkbox"/> Trust
	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> HUF
	<input type="checkbox"/> Other (Please specify)		

C)	For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:	
	a) Name	b) PAN

D)	Income Details (please specify)	
	Income Range per annum	Networth
	<input type="checkbox"/> Below ₹ 20 Lac	Amount (₹) _____
	<input type="checkbox"/> ₹ 20 – 50 Lac	As on (date) _____
	<input type="checkbox"/> ₹ 50 Lac – 1 crore	(Networth should not be older than 1 year)
	<input type="checkbox"/> Above ₹ 1 crore	

E)	In case of FIIs/Others (as may be applicable)	
	RBI Approval Reference Number	
	RBI Approval date	
	SEBI Registration Number (for FIIs)	

F)	Bank details	
	1	Bank account type <input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____
	2	Bank Account Number
	3	Bank Name
	4	Branch Address
		City/town/village
		State
		PIN Code
		Country

5	MICR Code																			
6	IFSC																			
G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:										<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)									
H)	Clearing Member Details (to be filled up by Clearing Members only)																			
1	Name of Stock Exchange																			
2	Name of Clearing Corporation/ Clearing House																			
3	Clearing Member ID																			
4	SEBI Registration Number																			
5	Trade Name																			
6	CM-BP-ID (to be filled up by Participant)																			
I)	Standing Instructions																			
1	We authorise you to receive credits automatically into our account.										<input type="checkbox"/> Yes <input type="checkbox"/> No									
2	Account to be operated through Power of Attorney (PoA)										<input type="checkbox"/> Yes <input type="checkbox"/> No									
3	SMS Alert facility																			
	Sr. No.		Holder								Yes		No							
	1		Sole/First Holder								<input type="checkbox"/>		<input type="checkbox"/>							
	2		Second Holder								<input type="checkbox"/>		<input type="checkbox"/>							
	3		Third Holder								<input type="checkbox"/>		<input type="checkbox"/>							
4	Mode of receiving Statement of Account [Tick any one]										<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].									
J)	List of family members (Separate Annexure maybe used in case number of members is higher)																			
	Sr No.	Name of Coparcener/Member				Gender	Date of Birth				Relation with Karta				Whether Coparcener/Member (please specify)					

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

I / We would Like to receive Rights and Obligation documents (Physical / Electronic) form.

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		X
Second Signatory		X
Third Signatory		X
Other Holders		
Second Holder		X
Third Holder		X

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)

<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (please specify)	

Notes:

- In case of additional signatures, separate annexures should be attached to the application form.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.

Acknowledgement

Participant Name, Address & DP ID

Received the application from M/s _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

Date:

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Participant Stamp & Signature

POWER OF ATTORNEY

To all to whom these presents shall come I / we _____ Indian Inhabitants send greetings. Whereas I/we have a beneficiary Account bearing No. _____ in the name and style of _____ (Hereinafter referred to as the said Account) with R K Global Shares & Securities Ltd., having its Registered Office at 61, 6th floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021 and _____ (Herein after called the DP) and I/we am/ are desirous of appointing an agent/attorney to operate said account on my/ our behalf in the manner herein after appearing.

Now know we all and those presents witness that I/we, the above named do hereby nominate, constitute and appoint R K Global Shares & Securities Ltd., an Indian Company having its Registered Office at 61, 6th floor, Mittal Chambers, 228, Nariman Point, Mumbai-400021, as my /our true and lawful attorney (s) Hereinafter referred to as The Attorney (s) for me /us and on my/our behalf and in my/ our name to do the following acts, deeds and things and exercise the following powers and authorities.

1. To do all such things and give all such instructions and mentioned below concerning, the said account as I/ we myself/ ourselves could give if I/ we was/ were personally present. To instruct the DP to debit securities to the said account and / or transfer securities from the said account to any other account to below mentioned Demat Accounts, to the extent of securities sold through R K Global Shares & Securities Ltd., for pay-in obligations as well as for Margins towards any stock exchange both in cash and derivatives segments.
2. To apply for various products like Mutual Funds, Public Issues (Shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us. To apply for redemption or repurchase of units of Mutual Fund by signing & submitting requests to Depository Participant for processing on my/our behalf.
3. And I/ we hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until notice of revocation given by me/us in writing to R K Global Shares & Securities Ltd., However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

CM Name	CM ID	A/c no.
R K Global Shares & Securities Ltd (NSE)	IN 559600	IN302453 - 10000077
R K Global Shares & Securities Ltd (BSE)	IN 662182	IN302453 - 10146921
BO Name	DP ID	CLIENT ID
R K Global Shares & Securities Ltd (NSE CM & F&O)	IN 302453	10004544
R K Global Shares & Securities Ltd (BSE CM & F&O)	IN302453	10146751
R K Global Shares & Securities Ltd (COLLATERAL)	IN302453	10261930
R K Global Shares & Securities Ltd (NSE CM POOL)	12014100	00001056
R K Global Shares & Securities Ltd (BSE CM POOL)	12014100	00017691

BO Name	CMBPID	A/CNO.
National Securities Clearing Corporation Limited (NSCCL)	IN565576	1100001100017837
BOI Shareholding Ltd/ Indian Clearing Corporation Ltd.	IN620031	1100001000020972

(Signed and delivered)





(Signature of 1st Holder)

(Signature of 2nd Holder)

(Signature of 3rd Holder)

By the Witness Named

(In the presence of)

Date:

Place:

R K GLOBAL SHARES & SECURITIES LTDDEPOSITORY PARTICIPANT OF NSDL (DP - ID : IN302453 / IN302951)

Registered 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400 021
 Office : P : 91-22-42105555, F : 91-22-42105500, E : care@rkglobal.in
 Corporate Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001
 Office : P : 91-11-43100999, F : 91-11-23385640, E : care@rkglobal.in, W : www.rkglobal.net
 Regional Room No.M-29 & 30, Mezzanine Floor, 6 Lyons Range, Fortune Chambers, Turner Morrison Building, Kolkata-700001
 Office : P : 033-40174999, E : care.kolkata@rkglobal.in

CHARGES SCHEDULE

Content	Charges
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ACCOUNT OPENING CHARGES

a. Account Opening Charges	Free
b. Account Maintenance Charges (charged from 2nd year)	Rs. 250/-

For POA Clients

a. Stamp Paper/ Franking Charges	Rs 10/- (one time)
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TRANSACTION CHARGES

a. Transaction Charges (BUY - Incoming)	NIL
b. Transaction Charges (SELL - Outgoing)	Rs 12.5 per ISIN or 0.01% of the delivered securities (whichever is higher)
c. Dematerialisation	NIL
d. Rematerialisation	NIL
e. Pledge/Lending/Borrowing Request.	Rs 15 per instruction / ISIN + Rs 5 per request
f. UnPledge Request	Rs 15 per instruction / ISIN + Rs 5 per request

DELIVERY INSTRUCTION

a. Failed Transaction	Rs 15/- per ISIN
b. 1st Delivery Instruction Book	NIL
c. Every Additional Delivery Instruction Book	Rs 15/-
d. Cheque Bounce Charges	Rs 300/-
e. Modification in Client Master	Rs 15/- per request

PERIODIC/NON PERIODIC STATEMENT

a. Periodic Statement - Email	NIL
b. Periodic Statement - Physical	NIL
c. Non Periodic Statement - Email	NIL
d. Non Periodic Statement - Physical	NIL
e. Postal Charges per Demat/Remat/Demat Rejection/Periodic & Non Periodic Statement	Rs 50/- per courier


* Cheque of Rs 50/- is required at the time of account opening which is adjusted towards the transaction cost.

NOTE :

Charges/Service standards are subject to revision to Depository Participants sole discretion and shall be informed by circulars sent by ordinary post 30 days prior to its implementation

In case of non payment of bills/any dues within 15 days of the due date, interest shall be charged @ 18% per annum on the outstanding dues and the Depository services may be discontinued after the expiry of 30 days from the date of a notice served if such default continues. Restoration of such accounts will be Rs 100/- per account. Annual Maintenance Charge (AMC) is non refundable. Service Tax, Education Cess and Higher Education Cess applicable on all above charges except stamp charges.

Same day instruction/next day pay-in related instruction, if submitted after 4 pm will be received for execution on best effort basis and at client risk, subject to extra charge of Rs 20/- per ISIN. The value will be calculated as per NSDL formula. In case of foreign correspondence address, any other communication in the form of physical or email will be charged as per actuals. Any services not listed above will be charged extra. I/We here confirm that we don't want to convert into BSDA Account.

 (16)





(Signature of 1st Holder)

(Signature of 2nd Holder)

(Signature of 3rd Holder)

Instructions for Filling Opening Form (Please read carefully before filling the form)

1. Please use CAPITAL LETTERS while filling up the Account Opening Form.
 2. Trading accounts cannot be opened in joint names.
 3. Client should sign at all the places marked as (S).
 4. Please affix passport size photographs of the Client/ Constituent/ First Holder / Sole Holder duly signed across, at the space provided.
 5. Please affix passport size photographs of Second Holder (if any), Third Holder (if any), Nominee (if any) and Guardian of Nominee (if any) duly signed across for depository account.
 6. Please provide a self attested clear photocopy of PAN Card (**MANDATORY**).
 7. Please provide copy of documentary evidence of financial details, if opted for trading in derivatives.
 8. Please provide a clear self attested photocopy of anyone of the following documents acceptable as Address proof.
 - a) Passport
 - b) Ration Card
 - (c) Driving Licence
 - d) Voter ID
 - e) Bank Passbook / Statement
 - f) Latest electricity or landline telephone bill (not more than two months old). Telephone bills of fixed wireless phone (TATA, Reliance and other WLL) and mobiles will not be accepted as address proof.
 - g) Notarized copy of leave and licence agreement/ agreement for sale/rent agreement
(Please provide proof of correspondence address only. All communication shall be sent at the correspondence address of the first/sole holder)
- *Note : Computer generated Bank Statement can be accepted as Proof of Address subject to :
1. Original Cancelled cheque required.
 2. Bank statement should be printed on the stationery of the bank, carry logo, name & address of the bank.
 3. If Bank statement is not printed on bank stationery but is printed on plain paper/computer stationery then it should be duly attested (signed and stamped) by the authorised official of the bank with name & designation of authorised official.
 4. The Bank statement should pertain to the latest quarter ending.
9. Please provide a clear self attested photocopy of anyone of the following documents acceptable as Bank Proof containing the name of the client/ constituent/ first/sole holder
 - a) Bank Passbook
 - b) Statement (Not more than three month old)
 - c) Cancelled cheque leaf
 10. Please provide photocopy of Holding/Transaction Statement/ Client master of each of your existing Depository account if not with R K Global Shares & Securities Ltd.
 11. In case of NRI, please provide the following additional self attested documents
 - a) Photocopy of permission letter issued by RBI/PIS permission letter from an authorised dealer.
 - b) Verified copies of proofs of both local as well as foreign address.
 - c) Copy of Passport.
 - d) Valid visa or work permit.
 - e) Bank proof-NRE/NRO saving account.
 - f) In - person verification by Indian embassy/R K Global Official.
(In case the client wants that the correspondence should be sent at foreign address then the postage amount would be charged as per actuals)
 12. Please provide cancelled cheque for MICR verification.
 13. Please provide an initial cheque in favour of **R K GLOBAL SHARES & SECURITIES LTD.** towards account maintenance charges.
 14. Client/Constituent/ First Holder / Sole Holder needs to fill up all the fields marked with asterix(*). Please note that all the columns of the account opening form are duly filled in and box or space is not left blank. Please strike off the boxes or space, Which are not applicable.
 15. All original documents shall be required for verification purposes at the time of submission of form.
 16. **In case of address change**
Duly Signed Request Letter, ID Proof, Address Proof and Latest Trxn. Statement
 17. **In case of Bank Detail Change**
Duly Signed Request Letter, Copy of Cancelled Cheque

CORPORATE ACCOUNT

1. Copy of PAN Card of the company
2. Copy of PAN Card / Passport / Voter ID / Driving License of director / authorized signatories
3. Certified true copy of annual report for the last year.
4. Proof of the Demat account.
5. Verification / attestation of signature of the directors by the bank
6. Copies of the balance sheet for the last 2 financial years (Copies of annual balance sheet to be submitted every year)
7. Copies of the Memorandum & Articles of Association
8. Photographs of whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities on behalf of the company.
9. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the Company Secretary/Whole Time Director/M.D. (Copy of updated shareholding pattern to be submitted every year)
10. Copy of the Resolution of Board of Directors approving participation in equity / derivatives trading and authorizing persons for dealing in securities.
11. Copy of Form No. 32 of the company.

Note :

1. Complete document to be signed by person hiHself/herself not to be signed by his/her attorney/authorised person etc.
2. Trading in Currency Derivative allowed only to Resident Clients.

Registered Office :

61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021
Phone : +91-22-4210 5555, Fax : +91-22-2281 6858
Email : mumbai@rkglobal.in

Corporate Office :

Flat-5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001
Phone : +91-11-4310 0999, Fax : +91-11-2338 5640
Email : care@rkglobal.in

Ahmedabad

405, Aniket Building, C. G. Road, Ahmedabad - 380 009
Phone : +91-79 - 4002 0999, Fax : +91-79-4002 0995
Email : ahmedabad@rkglobal.in

Bengaluru

New No. 1401, Old No. 131/22, Flat No. G-2, Royal Manor
14th Main Road, 33rd Cross, 4th Block (East), Jayanagar, Bengaluru-560 011
Phone : +91-080-4927 7999, Fax : +91-080-4927 7955
Email : bengaluru@rkglobal.in

Chennai

No. 163/2 Kutcherry Road, Mylapore, Chennai - 600 004
Phone : +91-44-4057 7999, Fax : +91-44-4057 7955
Email : chennai@rkglobal.in

Jaipur

248, Ganpati Plaza, 2nd Floor, M. I. Road, Jaipur - 302 001
Phone : +91-141-404 0999, Fax : +91-141-404 0997
Email : jaipur@rkglobal.in

Kolkata

DN-23, "The Knowledge Hub", 8th Floor, Sector-V, Salt Lake
Kolkata-700 091, Phone : + 033 4014 1999
Email : care.kolkata@rkglobal.in

Salem

4/322, LIC Colony Road, Salem-636 004
Phone : +91-427-244 0799
Email : salem@rkglobal.in



FOR OFFICE USE ONLY

Receipt Stamp

Branch

Trading Account with R K Global

Yes

No

Trading Code.....