

**Bagged NSDL Best Performer in Account Growth Rate (Big DP)  
consecutively for 7 years in 2013, 2014, 2015, 2016, 2017, 2018 & 2019**



## ACCOUNT OPENING FORM TRADING & DEMAT (FOR INDIVIDUALS)

 [care@rkglobal.in](mailto:care@rkglobal.in)

 033 - 4014 1999

 [www.rkglobal.in](http://www.rkglobal.in)



### IN-PERSON VERIFICATION

Client Name .....

.....

Code .....

By sign .....

Name of the Employee/AP/SB .....

Date .....

Place .....

Name of the Service Centre .....

## R K GLOBAL SHARES & SECURITIES LTD.

INDEX OF DOCUMENTS		
S.NO.	NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE	PAGE NOS.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>		
<b>1.</b>	<b>Account Opening Form</b> A. KYC form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	<b>1 - 3</b>  <b>4 - 9</b>
<b>2.</b>	<b>Policies and Procedures</b> Document describing significant policies and procedures of the stock broker.	<b>10 - 12</b>
<b>3.</b>	<b>Tariff sheet</b> Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	<b>13</b>
<b>Note :</b> Standard Mandatory Documents viz. Rights & Obligations of Stock Broker, Sub-broker and Client for trading on exchanges, Uniform Risk Disclosure Documents, and Guidance Note detailing Do's and Don'ts for trading, are available in physical/electronic mode as per your choice marked in on Page 5.		
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>		
<b>4.</b>	<b>Authority Letter for Running Account</b> The document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly/quarterly interval at his discretion.	<b>14</b>
<b>5.</b>	<b>Mandate to issue documents in Electronic format</b> The documents deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement etc. in electronic format.	<b>15</b>
<b>6.</b>	<b>Letter of Authority</b> The document deals with some voluntary declaration given by the client & also authorises the member for operational convenience.	<b>16</b>
<b>7.</b>	<b>Declaration in case of same Mobile No. and / or E.mail ID for different clients</b> As required under various Circulars of SEBI and Exchange(s)	<b>17</b>
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<b>OTHERS</b>		
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<b>11.</b>	<b>ANTI MONEY LAUNDERING/COMBATING FINANCING OF TERRORISM - LITERATURE</b> The document gives an overview of what is Money Laundering, its objectives, its effects on economy and society, and local regulations to fight money laundering.	<b>22 - 24</b>

**Important Instructions:**

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

**For office use only**

Application Type\*

☐ New ☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type\*

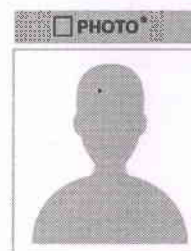
☐ Normal ☐ Minor ☐ Aadhaar OTP based E-KYC (in non-face to face mode)
**1. PERSONAL DETAILS\*** (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				
Date of Birth*	DD	MM	YY	YY
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
PAN*	<input type="checkbox"/> Form 60 furnished			

**2. PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction B at the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving Licence  
☐ D- NREGA Job Card  
☐ E- National Population Register Letter  
☐ F- Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar

**Address**

Line 1*																	
Line 2																	
Line 3																	
District*						Pin/Post Code*						City / Town / Village*					
												State/U.T Code*			ISO 3166 Country Code*		

**3. CURRENT ADDRESS DETAILS** (Please refer instruction B at the end)
☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number  
☐ B- Voter ID Card  
☐ C- Driving Licence  
☐ D- NREGA Job Card  
☐ E- National Population Register Letter  
☐ F- Proof of Possession of Aadhaar
- II ☐ E-KYC Authentication
- III ☐ Offline verification of Aadhaar
- IV ☐ Deemed Proof of Address - Document Type code
- V ☐ Self Declaration

**Address**

Line 1*																	
Line 2																	
Line 3																	
District*						Pin / Post Code*						City / Town / Village*					
												State/U.T Code*			ISO 3166 Country Code*		



[illegible][illegible]

- 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 consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature / Thumb Impression of Applicant \_\_\_\_\_

Date :  /  /

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

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process  
☐ Equivalent e-document ☐ Video Based KYC

[illegible]

Name	R K GLOBAL SHARES & SECURITIES LTD.
Code	IN0523

(Instructor Stamp)

**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR.
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
---------------	-------------

- |    |   |
|----|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).   |
| 02 | Property or Municipal tax receipt.  |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.   |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation. |

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

**C 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.

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only.
- 2 However, in case guardian details are available for minor above 10 years of age. the same (or CKYCR number of guardian) is to be uploaded.

## TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	First Bank Details	Second Bank Details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO
MICR No.		
IFSC code		
DEPOSITORY ACCOUNT(S) DETAILS		
	First Demat A/c Details	Second Demat A/c Details
Depository Participant Name		
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
<b>TRADING PREFERENCES</b> - * Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.		
Exchange	Segment	Signature
1. National Stock Exchange of India Ltd.	- Cash	✓
	- F&O	✓
	- Currency	✓
2. BSE Limited	- Cash	✓
	- F&O	✓
	- Currency	✓
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.		

**MANDATORY**

<b>OTHER DETAILS</b>			
<b>Gross Annual Income Details (please specify)</b>			
Income Range per annum	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> > 1 crore		
<b>Net-worth</b>		<b>as on (date)</b>	
(Net worth should not be older than 1 year)		(dd/mm/yyyy)	
<b>Occupation (Individuals)</b> (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business		
	<input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student		
	<input type="checkbox"/> Others _____		
<b>Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors</b>		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
<b>PAST ACTIONS</b>			
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			
<b>DEALINGS THROUGH OTHER STOCK BROKERS</b>			
Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers /sub-brokers, provide details of all)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code		Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker			
<b>ADDITIONAL DETAILS</b>			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
_____, Specify your Email id, if applicable :			
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance note - physically or electronically, (please specify) : _____			
<b>Please note that these documents are also available in certain vernacular languages on demand.</b>			
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)			
<input type="checkbox"/> YES <input type="checkbox"/> NO			
Number of years of Investment / Trading Experience			
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others			As per Annexure
Any other information			



INTRODUCER DETAILS (optional)		
Name of the Introducer		
	(Surname)	(Name) (Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client	
	<input type="checkbox"/> Others, please specify	
Address and Phone No. of the Introducer		
Signature of the Introducer		
WITNESSES (Only applicable in case the account holder has made nomination)		
	First Witness Details	Second Witness Details
Name		
Signature		
Address		

### DECLARATION

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

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

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

✓ \_\_\_\_\_  
Signature of Client/ (all) Authorized Signatory (ies)



## Nomination Form

<b>R K GLOBAL SHARES &amp; SECURITIES LTD.</b> Regd. Office : 61 Mittal Chambers, 6th Floor 228 Nariman Point, Mumbai - 400 021												<b>FORM FOR NOMINATION</b> (To be filled in by individual applying singly or jointly)													
Date		D		D		M		M		Y		Y		Y		Y		UCC / DP ID				Client ID			
I/We wish to make a nomination. [As per details given below]																									
<b>Nomination Details</b>																									
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																									
<b>Nomination can be made upto three nominees in the account</b>						<b>Details of 1st Nominee</b>						<b>Details of 2nd Nominee</b>						<b>Details of 3rd Nominee</b>							
<b>1 Name of the Nominee(s)</b> (Mr./Ms.)																									
<b>2 Share of each Nominee</b> Equally [If not equally, please specify percentage]						%						%						%							
						Any odd lot after division shall be transferred to the first nominee mentioned in the form.																			
<b>3 Relationship with the Applicant (if any)</b>																									
<b>4 Address of Nominee(s)</b> City / Place																									
State & Country																									
PIN Code																									
<b>5 Mobile / Telephone No. of Nominee(s)</b>																									
<b>6 Email ID of Nominee(s)</b>																									
<b>7 Nominee Identification Details</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																									
<b>Sr. Nos. 8-14 should be filled only if Nominee(s) is a minor</b>																									
<b>8 Date of Birth {in case of minor nominee(s)}</b>																									
<b>9 Name of Guardian (Mr./Ms.)</b> {in case of minor nominee(s)}																									
<b>10 Address of Guardian(s)</b> City / Place																									
State & Country																									
PIN Code																									

**MANDATORY**

<b>11 Mobile / Telephone No. of Guardian</b>			
<b>12 Email ID of Guardian</b>			
<b>13 Relationship of Guardian with Nominee</b>			
<b>14 Guardian Identification Details</b>			
[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
	<b>Name(s) of holder(s)</b>		<b>Signature(s) of holder*</b>
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

**Notes :** This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

### DECLARATION FORM FOR OPTING OUT OF NOMINATION

<b>R K GLOBAL SHARES &amp; SECURITIES LTD.</b>		Date <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>								D	D	M	M	Y	Y	Y	Y						
D	D	M	M	Y	Y	Y	Y																
Regd. Office : 61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021																							
UCC/DP ID	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>											Client ID (only for Demat account)	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
Sole/First Holder Name																							
Second Holder Name																							
Third Holder Name																							
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / 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 / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.																							
<b>Name and Signature of Holder(s)*</b>																							
<div style="display: flex; justify-content: space-between; height: 100px;"> <div style="width: 30%; text-align: center;">1</div> <div style="width: 30%; text-align: center;">2</div> <div style="width: 30%; text-align: center;">3</div> </div>																							

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

**MANDATORY**

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		

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

\_\_\_\_\_  
**Signature of the Authorised Signatory**

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

\_\_\_\_\_  
**Seal/Stamp of the stock broker**

### INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

*\*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf / pass book / bank statement specifying name of the constituent, MICR Code or / and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

**MANDATORY**

## POLICIES AND PROCEDURES

### A. Refusal of orders for penny stocks

The typical "penny stock" is a very small company with highly illiquid and speculative shares. They trade at a relatively low price and market capitalization. The company's policy is to classify the following stocks as "penny" stocks :

- a. All stocks having current market price upto Rs.10.
- b. All stocks classified as Illiquid Securities as per Exchanges' circulars from time to time.

An order for penny stock trading may be denied

1. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded.
2. If trading debarred / banned by any regulatory authority.
3. If trade pattern is objectionable (also includes frivolous, vexatious and malicious)
4. If otherwise not permissible under our Risk Management policy / Anti money laundering policy/ any other policy for the time being in force.
5. If 100% upfront margin is not paid or the securities are not to be delivered in Demat form.
6. Where circumstances appear to justify such action or on reasonable grounds.

We shall not be held liable for restricting / prohibiting trade in penny stocks at any time. Also the Client shall indemnify us in respect of any loss caused to us by virtue of the Client trading in penny stock.

### B. Setting up Client's Exposure limit

Clients will be granted turnover and exposure limits on the basis of available deposits being sufficient to cover upfront margin requirements.

- a. Deposits to
  - include margins specifically deposited by the clients
  - include what is withheld from settlement obligations as margin on payout.
  - exclude what is ploughed back from margin to meet settlement obligation on payin.
- b. Deposits may be made available in the form of cash, FDR, BG, Margin pledge of securities / other acceptable collaterals.
- c. In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- d. Haircuts will be applicable on the non cash component (other than Cash / BG/ FDR) of deposits at rates specified by Exchanges from time to time.
- e. Cash and Non cash component (after haircut) of deposits must be maintained in a specified ratio. Any non cash component in excess of specified proportion of cash component will not be reckoned. This specified ratio will depend upon the Credit Rating of the client from Risk Manager.

In case of derivatives, Clients shall be allowed to trade only upto the applicable clientwise position limits set by the Exchanges / Regulators from time to time.

The exposure limits set by RKG does not by itself create any right for the Client and are liable to be withdrawn at any time without notice and the client shall bear the loss on account of withdrawal of such limits. The client agrees to compensate RKG in the event of RKG suffering any loss, harm or injury on account of exposure given and / or withdrawn.

### C. Applicable brokerage rate

- a. Brokerage on option contracts will be charged on the Premium amount.
- b. Brokerage rates not to exceed 2.5% of the contract price exclusive of statutory levies.  
Exclusions:
  - o In case of options, brokerage shall not exceed higher of 2.5% of premium amount or Rs. 100 per lot.
  - o Where sale / purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- c. Brokerage rate will be mutually decided before the onset of trading. Any change in future can only have prospective effect and must be effected in writing.

### D. Imposition of Penalty / Delayed Payment Charges

Penalties will be levied on clients for :

- a. A violation by the client of the requirements / stipulations of Exchanges / any Regulatory Authority.
- b. His trading pattern been objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- c. His suspension of information / providing false information.

Further, any penalty / fine / charge imposed on us by Exchanges / any Regulatory Authority shall be fully recoverable from the client and the client will have to bear the same.

Cheque Return Charges will be collected from Clients at actual.

**MANDATORY**



Any relaxation of the penalty on a client will require the Board's specific approval which may grant the same depending on the circumstances on case to case basis. Any such relaxation in a case no way entitles any client to seek relaxation in the same circumstances, either then or in future.

Clients to note : Ignorance of law is no excuse at law.

**E. Right to sell clients' securities or close clients' positions, without giving notice to the client**

Any failure on part of a client to pay the whole of the margin deposit and/or settlement obligation requirements, within the time permitted by the Rules and Regulations of Exchanges/ Regulatory Authorities, will entitle us to, without any notice to the client :

1. Withdraw trading facility from the client.
2. Square off / close-out all or any part of outstanding positions of client forthwith or any time thereafter, at our discretion, to the extent possible, by placing at the Exchange, counter orders. Such close-out/ square off shall be limited to the extent of client's margin/ settlement obligations.
3. Sale all or any part of client's securities held in CUSA forthwith or any time thereafter at our discretion. Such close out shall be limited to the extent of client's margin / settlement obligations.
4. Invoke Margin Pledge.
5. Invoke BG / FDRs deposited with us.
6. Use other risk containment measures as may be deemed fit and appropriate under the circumstances.
7. Impose penalties / delayed payment charges / other disciplinary action fit and appropriate.

Though it will be our sincere effort to timely notify the client of the shortfall and give him reasonable time to make good the shortfall, this is not a pre-condition to the exercise of the above rights, and the client should be aware of the timelines of meeting obligations himself. The Risk Manager will consider the credit risk rating of the client and take all or any of above measures in a manner a man of just and reasonable mind would have done under the circumstances. The action shall be final and binding on the client and any profit / loss shall be borne by the client only.

In case of cheques, they must come from client's designated bank account only. Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds. He will be exclusively guided by a risk containment focus and protection of company's interest. Clients are therefore advised to keep sufficient margins well in advance.

We reserve the above right, however, we are not obliged to close clients' positions / sell clients' securities, and it shall be the continued responsibility of the client to make payments towards outstanding dues/ obligations and / or applicable margins to RKG in time.

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

- a. When a ban of fresh position is in force in any security, no further position is allowed. In case a position has already been inadvertently taken, the existing position may be closed.
- b. In case of non-payment of dues – margin (which includes additional margins as and when levied) and settlement obligations (which includes daily MTM settlement of future contracts, final settlement of future contracts, premium settlement of option contracts, and exercise settlement of option contracts after commission, fees, and/or charges).
  - Margin requirement will be computed on a real-time basis.
  - Initial margin component is required on an upfront basis.
  - Depending upon the circumstances, the Risk Manager will be at liberty to give benefit / credit for cheques only on realization of funds.
- c. If we are in close-out mode for any reason / if we are disabled for any reason.
- d. If the trading pattern is objectionable (includes disturbing fair price determination in the market or resorting to unfair trade practices).
- e. In case violation of any directive / regulation/ laws / bye-laws of Exchanges / Other Regulatory Authorities will result or have resulted.
- f. Where the client is unable to provide funds / securities in a manner that can be transferred to the exchange immediately for pay-in / margin obligations.
- g. In the event of death or insolvency of the client or his / its otherwise becoming incapable of receiving / paying for any contracts which the client has ordered to be bought or sold, or of delivering or transferring securities.
- h. On failure to comply with any of the provisions relating to delivery, payment and settlement of deals or any failure to fulfill the terms and conditions subject to which the deal has been made.
- i. If applicable exposure limit / market wide position limit / trading member position limit / client wise position limit will be exceeded or has exceeded.
- j. In case of high market volatility, where the current margins of the clients with us does not cover the value at risk of the client.
- k. If otherwise not permissible under our Risk Management policy / Due diligence policy / Anti money laundering policy/ any other policy for the time being in force.
- l. Where circumstances appear to justify such action or on reasonable grounds.

**MANDATORY**

Besides restricting further trades/ closing existing trades, other measures as may be deemed fit may further be taken.  
Any profit / loss on closing out shall be borne by client only.

#### **G. Internal shortages of securities**

If securities are not received in our Pool A/c from the selling client before the pay in date but there is no failure to meet securities obligations towards the Exchange, i.e., there is an instance of internal shortage, the following procedure will be adopted.

1. There will be a buying-in of shares against the selling client through a "deemed auction" for the benefit of buying client. The buying-in shall be from the market and may be with or without the notice of the client.
2. If for any reason whatsoever there couldn't be a buying-in on T+2 day, the shares will be deemed to be closed on T+2 day using the following valuation:  
Higher of :
  - a. Highest price from the 1st day of the relevant trading period till the date of close out.
  - b. Closing price on the auction day (T+2) plus 5%.

The selling client will be debited for "deemed auction" price / "close out" price. In case of close out, the buying client shall be credited for the close-out price.

Any loss of corporate benefit to the buyer of the securities shall be recovered from the defaulting seller's account.

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

A client may give a written request for temporarily suspending/ closing his account. The request will be processed within a maximum of 2 working days from the date of receipt of the request provided:

- a. He doesn't owe us any money across all segments / Exchanges on any account.
- b. There are no outstanding / open positions of the client.

During such suspension, the client will not be in a position to trade with us. The suspension may be revoked by a request in writing from the client. This request will be processed within a maximum of 7 working days from the receipt of the request provided:

- a. He fulfills latest KYC standards applicable then.
- b. He provides any additional information that may be required by us / Regulatory Authorities then.
- c. He has not been debarred from trading by any Authority meanwhile.
- d. His conduct, till date, has been fair, honourable and just.

Notwithstanding any such suspension / closure, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to such closure / suspension shall continue to subsist and binding on the client.

#### **I. Deregistering a client**

Deregistering a client shall mean complete termination of his trading agreement (irrespective of segment / exchange) with us. Once deregistered, a client will not be entertained back for fresh registration for atleast 1 year.

Deregistration can be initiated on client's specific written request provided full and final settlement of all his accounts with us both for funds and securities have been effected.

Deregistration can also be initiated by us in the following situations :

1. He is guilty of breach of terms and conditions of the Member Client Agreement.
2. If he is guilty of contravention, non-compliance, disobedience, disregard or evasion of any of the Bye laws, Rules and Regulations of the Exchange / Clearing Corporation / Other Regulatory Authorities or of any of their Resolutions, Orders, Notices, Discretions, decisions or rulings.
3. If he is guilty of any conduct, proceeding or method of business which is deemed dishonourable, disgraceful or inconsistent with just and equitable principles or detrimental to the interests of R K Global Shares & Securities Ltd. or prejudicial or subversive to its objects and purposes.
4. His financial condition is found to be unsatisfactory to the extent that he cannot be permitted to do business with safety to ourselves.
5. He is otherwise not incapacitated to deal in securities / derivatives contracts.

Such deregistration shall not affect our rights against such client to recover any dues against him, i.e., our right as a creditor shall remain unaffected. Also the deregistered client shall be bound to fulfill deals and obligations outstanding at the time of his deregistration.

The above Policies and Procedures are subject to change / updation from time to time. The updated Policies and Procedures shall be posted on the website [www.rkglobal.net](http://www.rkglobal.net). Clients are requested to refer to the updated Policies and Procedures and abide by the same.

**A. BROKERAGE****TARIFF SHEET**

	%	Min. Paisa	Min. Per Lot
<b>1. Capital Market Segment</b>			
Square up Brokerage			Not Applicable
Delivery Brokerage			Not Applicable
<b>2. Futures &amp; Options Segment</b>			
Brokerage in Futures			
Brokerage in Options			
<b>3. Currency Derivatives Segment</b>			
Brokerage in Futures			
Brokerage in Options			

✓  
Signature of the Client

SCORES URL Link : <https://scores.gov.in/scores/Welcome.html>

**Filing compliant on SCORES - Easy & Quick**

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



## AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

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

To

**R K GLOBAL SHARES & SECURITIES LTD.**

61 Mittal Chambers, 6th Floor

228 Nariman Point, Mumbai - 400 021

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with R K Global Shares & Securities Ltd. & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize R K Global Shares & Securities Ltd. to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
7. I/we may revoke the authorisation at any time by giving a written notice.
8. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a quarter or month and the statement of account for the same will be provided to me by R K Global Shares & Securities Ltd.
9. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
10. I/we agree that (a) in respect of derivatives market transactions, the Trading Member may retain the requisite funds on settlement date to take care of any margin obligation arising in next 5 days, calculated in the manner specified by the Exchange, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligations of **T day & T-1 day** funds due from me/us as on the date of settlement to take care of margin obligation in next 5 days, calculated in the manner specified by the Exchange.
11. I / we authorise you to retain an amount upto ₹ 10,000/- (consolidated amount across segments and across stock exchanges) for actual settlement of that respective traded quarter / month.
12. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
13. There must be a gap of maximum 90 / 30 days (as per the choice of the client viz. Quarterly / Monthly) between two running account settlements.
14. Apart from margin liability as on the date of settlement, in all segments, additional margins (maximum upto 125% of margin requirement on the day of settlement), i.e. 225% of the total Margin requirement after excluding the margin on consolidated crystallized obligation, where applicable.
15. I/we shall bring any dispute arising from the statement of account or settlement so made to the Notice of the Trading Member preferably **within 30 working days** from the date of receipt of funds / securities or statement as the case may be.

### PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

✓

Signature of the Client

**VOLUNTARY**



## MANDATE FOR ELECTRONIC COMMUNICATION

Dated : \_\_\_\_\_

To  
**R K GLOBAL SHARES & SECURITIES LTD.**  
61 Mittal Chambers, 6th Floor  
228 Nariman Point  
Mumbai - 400 021

Sir,

This has reference to the facility of receiving contract notes and other documents in Electronic form issued by you in compliance with regulations and guidelines issued by SEBI and Stock Exchanges. I / We understand that ECN are valid legal contract notes as per Stock Exchange / SEBI Rules and recognized under Income Tax Act, as well as other Acts in India.

Therefore, the ECN shall be an accepted form of Contract Note to me / us and should be mailed to the following Email ID(s) :

E-mail Id (a) _____	✓ _____
(Primary - compulsory)	Signature of Client
(b) _____	✓ _____
(Alternate - optional)	Signature of Client

I / We wish to inform you that I / We would like to avail of this facility. In this regard we state the following :

1. This is to further confirm that it will be my / our responsibility that my / our Email ID is active and mail box is not full and the non-receipt of the bounced mail notification at your end shall amount to delivery of the ECN at my / our Email ID.
2. I / we undertake to check the ECNs and discrepancy if any shall be brought to your notice within 24 hours of the issuance of contract notes.
3. You are authorized to send me / us account statement / other documents / other notices / correspondence periodically through the same channel.
4. I / we undertake that any change in my / our Email ID shall be communicated to you in writing through a physical letter.

Kindly take the above into your record and oblige.

Thanking you,

Yours truly,

✓ \_\_\_\_\_  
Signature of Client

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

## LETTER OF AUTHORITY

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

To  
**R K GLOBAL SHARES & SECURITIES LTD. (RKG)**  
61 Mittal Chambers, 6th Floor  
228 Nariman Point  
Mumbai - 400 021

With reference to my/our registration as your client for trading in NSE and BSE, I / We hereby unconditionally and irrevocably undertake and agree that :

1. Excess Margins deposited towards one exchange/segment may be adjusted, on a running basis, towards margin requirement/debit balance in same / other exchange/segment where I/We have the client account.
2. If I/We fail to make payment of consideration to RKG in respect of anyone or more securities purchased by me/ us before the pay-in date notified by the exchange from time to time, RKG shall be at liberty to sell the securities received in pay-out, in proportion to the amount not received, after taking into account any amount lying to my/our credit, by selling equivalent securities at any time on the Exchange. I/We agree that the loss, if any, on account of such sale shall be to my/our account.
3. If I/We fail to deliver any one or more securities to RKG's pool account in respect of the securities sold by me/ us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering anyone or more securities shall be deemed to have been closed out at the auction price or close-out price, on the date of pay-out in respect of the relevant securities, declared by the Exchange. I / We further agree that the loss, if any, on account of the close out shall be to my/ our account.
4. To accept my/our order placement / modification / cancellation verbally and confirm about the same verbally. Hence, RKG is advised not to send me/us any order confirmation / cancellation / modification / trade confirmation slip, etc.
5. I/We agree to abide by client level position limit and authorize you not to increase our open position beyond the stipulated limit, and if inadvertently exceeded, to actually reduce and bring it within acceptable limits. I / We further authorize you to debit me / us for any penalty imposed at the rate p.a. specified on me / us for my / our violation towards position limit.
6. All the trades done by me/us through you shall be completely on my/our behalf and I/We undertake that I/We shall not act as an unregistered sub-broker of R K Global Shares & Securities Ltd.

Thanking you

Yours truly,

✓

\_\_\_\_\_  
Signature

**VOLUNTARY**

Dated : \_\_\_\_\_

To

**R K GLOBAL SHARES & SECURITIES LTD.**

61 Mittal Chambers, 6th Floor

228 Nariman Point, Mumbai - 400 021

**DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS**

[Please tick (✓) wherever applicable]

Client ID		Date	
Name of account Holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).			
Signature of account holder	✓		
Name of account Holder			

Client ID		Date	
Name of account Holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).			
Signature of account holder	✓		
Name of account Holder			

Client ID		Date	
Name of account Holder			
<input type="checkbox"/> Mobile Number			
<input type="checkbox"/> Email ID			
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).			
Signature of account holder	✓		
Name of account Holder			

**VOLUNTARY**

## CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : \_\_\_\_\_

To  
**R K GLOBAL SHARES & SECURITIES LTD.**  
61 Mittal Chambers, 6th Floor  
228 Nariman Point  
Mumbai - 400 021

Sir,

This is with reference to my/our trading account opened with you. I/we request you to arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concerned authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Email ID	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>
Mobile Number	
Owned by - Name	
- PAN Number*	
Relationship with Client	
Signature of the Client	✓

\* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **R K Global Shares & Securities Ltd.**

✓ \_\_\_\_\_  
Signature of Client

**VOLUNTARY**



**Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002**

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

If Business / Profession : Nature of business : \_\_\_\_\_

Industry : \_\_\_\_\_

Details of my/our Relatives, having account with **R K Global Shares & Securities Ltd.** :

Name	Relationship	UCC (Client Code)
1.		
2.		
3.		
4.		

Details of the Corporate / Partnership Firm / Trust etc. where I/We am/are affiliated

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We hereby submit and agree to submit every year following documents to **R K Global Shares & Securities Ltd.**, before the due date as prescribed by **R K Global Shares & Securities Ltd.** :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We confirm that I/We will immediately inform **R K Global Shares & Securities Ltd.** in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : ☐ Own Funds ☐ Borrowed Funds  
(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with , and that I/We am/are investing my/our own funds with **R K Global Shares & Securities Ltd.**

✓ \_\_\_\_\_  
Client Signature Client's Name

**For Office use only :**

Risk categorisation of client as per PMLA, 2002 :

☐ High Risk ☐ Medium Risk ☐ Low Risk

Verified by : \_\_\_\_\_

Authorised & Approved by : \_\_\_\_\_

**VOLUNTARY**

## FATCA/CRS DECLARATION FORM - FOR INDIVIDUAL

Applicant Name \_\_\_\_\_

### PART I - Please fill in the country for each of the following :

1. Country of :
  - a) Birth \_\_\_\_\_
  - b) Citizenship \_\_\_\_\_
  - c) Residence for Tax Purposes \_\_\_\_\_
2. US Person\* : ☐ Yes ☐ No

### PART II - Please note :

- a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.
- b. If for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent\*\* as issued in the specific country in the table below :

i) TIN _____	Country of Issue _____
ii) TIN _____	Country of Issue _____
iii) TIN _____	Country of Issue _____
- a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.
- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate  
\_\_\_\_\_

Please also fill **Part IV** Self-Certification.

### PART III - Customer Declaration (Applicable for all customers)

- (i) Under penalty of perjury, I/we certify that :
  1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
  2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**
- (ii) I/We understand that R K Global Shares & Securities Ltd. is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. R K Global Shares & Securities Ltd. is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
- (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
- (iv) I/We agree that as may be required by domestic regulators/tax authorities R K Global Shares & Securities Ltd. may also be required to report, reportable details to CBDT or close or suspend my account.
- (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature : \_\_\_\_\_

Name : \_\_\_\_\_ Date (DD/MM/YYYY) : \_\_\_\_\_

#### **PART IV - Self-Certification :**

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

---

Signature

Document Proof submitted (Please tick document being submitted)

☐ Passport ☐ Election Id Card ☐ PAN Card ☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card ☐ Govt. Issued ID Card

---

**\* U.S. Person means,**

- (a) an individual, being a citizen or resident of the United States of America;
- (b) a partnership or corporation organized in the United States of America or under the laws of the United States of America or any State thereof;
- (c) a trust if,-
  - (i) a court within the United States of America would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
  - (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust; or
- (d) an estate of a decedent who was a citizen or resident of the United States of America;

#### **\*\* Functional Equivalent of TIN**

Many countries do not issue TIN to their taxpayers. However, such countries issue some other high integrity number with an equivalent level of identification (a functional equivalent). Examples of such numbers are-

- Social Security Number
- National Insurance Number
- Citizen Or Personal Identification Code Or Number
- Resident Registration Number

## **ANTI-MONEY LAUNDERING (AML) – COMBATING FINANCING OF TERRORISM (CFT)**

### **WHAT YOU MUST KNOW – FAQs**

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds/ income tax returns/ bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

#### **What is Money Laundering?**

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money-laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money laundering & terrorist financing and to preserve the integrity of the Financial system.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

#### **How much money is laundered per year?**

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

#### **How is money laundered?**

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second – or layering – stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage – integration – in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

#### **Where does money laundering occur?**

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

#### **How does money laundering affect business, economic development & society at large?**

Money laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.



The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

#### **How does fighting money laundering help fight crime?**

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

#### **What should individual governments be doing about it?**

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon – both within the government and the private business sector – and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

#### **What are Local regulations on AML/CFT?**

- a) Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01, 2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
- b) SEBI Guidelines on PMLA vide circular issued in January 2006 followed by latest Master circular issued in February 2010.
- c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

#### **How is Money Laundering defined under PMLA 2002?**

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the “Offence of Money Laundering” as:

“Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering.”

“**Proceeds of crime**” has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

“**Scheduled Offences**”, as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

#### **Why KYC/AML Policy for Market Intermediary?**

SEBI has instructed all Market Intermediary to adopt a KYC/AML Policy

- a) To prevent criminal elements from using the Capital Market for money laundering activities
- b) To enable the Broker to know/understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
- c) To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws/laid down procedures.
- d) To comply with applicable laws and regulatory guidelines.
- e) To take necessary steps to ensure that the concerned staff is adequately trained in KYC/AML procedures.

#### **What are the obligations of Market Intermediary under PMLA 2002?**

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

- a) Maintaining a record of prescribed transactions.
- b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND)).
- c) Verifying and maintaining records of the identity of its clients.
- d) Preserving records in respect of a,b,c above, for a period of 10 years from the date of cessation of transactions with the clients.

**What is Financial Intelligence Unit-India (FIU-IND)?**

FIU-IND is a central, national agency, set up by Government of India on 18th November, 2004, responsible for receiving (and as permitted, requesting), analyzing and disseminating to the competent authorities, disclosures of financial information (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat money laundering and terrorist financing.

**What are the transactions to be reported by Market Intermediary to FIU-IND?**

- All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50,000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
- Counterfeit currency transactions.
- Suspicious transactions.

**What are suspicious transactions?**

Rule 2(1)(g) of PMLA-2002 defines suspicious transactions as:

A transaction whether or not made in cash which, to a person acting in good faith-

- gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
- appears to be made in circumstances of unusual or unjustified complexity; or
- appears to have no economic rationale or bonafide purpose; or
- gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

**POLICY/DECLARATION ON AML/CFL**

Sl.No.	AML Measures	Particulars
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI/Exchange
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	We have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

## PART II - ACCOUNT OPENING FORM (FOR INDIVIDUALS)



# R K GLOBAL SHARES & SECURITIES LTD.

Regd. Off. : 61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021

Phone : (+91-22) 4210-5555, Fax : (+91-22) 4210-5500

E.mail : mumbai@rkglobal.in, Website : www.rkglobal.net

CIN : U99999MH1995PTC174185

DP ID : IN302453 & IN302951 ♦ SEBI REGN. NOS. : IN-DP-203-2001 & IN-DP-241-2016

E.mail ID for Investor Complaint : grievances@rkglobal.in

CLIENT ID		Date	D	D	M	M	Y	Y	Y	Y	
(To be filled by Participant)											
I/We request you to open a Depository Account in my/our name as per the following details :											
(Please fill all the details in CAPITAL LETTERS only)											
<b>A) DETAILS OF ACCOUNT HOLDER(S) :</b>											
<b>Account Holder(s)</b>											
<b>Sole/ First Holder Name</b>											
<b>Second Holder Name</b>											
<b>Third Holder Name</b>											
	<b>Sole/ First Holder</b>				<b>Second Holder</b>				<b>Third Holder</b>		
<b>PAN</b>											
<b>Occupation (please tick any one and give brief details)</b>	<input type="checkbox"/> Private Sector				<input type="checkbox"/> Private Sector				<input type="checkbox"/> Private Sector		
	<input type="checkbox"/> Agriculturist				<input type="checkbox"/> Agriculturist				<input type="checkbox"/> Agriculturist		
	<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired				<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired				<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired		
	<input type="checkbox"/> Government Service				<input type="checkbox"/> Government Service				<input type="checkbox"/> Government Service		
	<input type="checkbox"/> Housewife <input type="checkbox"/> Business				<input type="checkbox"/> Housewife <input type="checkbox"/> Business				<input type="checkbox"/> Housewife <input type="checkbox"/> Business		
	<input type="checkbox"/> Student <input type="checkbox"/> Professional				<input type="checkbox"/> Student <input type="checkbox"/> Professional				<input type="checkbox"/> Student <input type="checkbox"/> Professional		
	<input type="checkbox"/> Others (Please specify; _____)				<input type="checkbox"/> Others (Please specify; _____)				<input type="checkbox"/> Others (Please specify; _____)		
<b>Brief details</b>											
<b>B) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name &amp; PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :</b>											
<b>Name</b>					<b>PAN</b>						
<b>C) Type of account</b>											
<input type="checkbox"/> Ordinary Resident				<input type="checkbox"/> NRI-Repatriable				<input type="checkbox"/> NRI-Non Repatriable			
<input type="checkbox"/> Qualified Foreign Investor				<input type="checkbox"/> Foreign National				<input type="checkbox"/> Promoter			
<input type="checkbox"/> Margin				<input type="checkbox"/> Others (Please specify) _____							
<b>D) Gross Annual Income Details - Income Range per annum (please tick any one)</b>											
<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1 - 5 Lac <input type="checkbox"/> ₹ 5 - 10 Lac <input type="checkbox"/> ₹ 10 - 25 Lac <input type="checkbox"/> More than ₹ 25 Lacs											
<b>E) In case of NRIs/ Foreign Nationals</b>											
<b>RBI Approval Reference No.</b>					<b>RBI Approval date</b>						
					D D M M Y Y Y Y						



<b>F) BANK DETAILS :</b>													
Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____												
Bank A/c No.													
Bank Name													
Branch Address													
City/town/village									Pin Code				
State									Country				
MICR Code									IFSC				
G) Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)													
<b>H) STANDING INSTRUCTIONS :</b>													
1. I/We authorise you to receive credits automatically into my/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 : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]													
Sole/First Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No			
4. Mode of receiving Statement of Account (Tick any one)											<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form		
(Read Note 4 and ensure that email ID is provided in KYC Application Form)													
5. Mode of receiving the standard document - Rights and Obligations of Beneficial Owner and Depository Participant (Tick any one)											<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form		
6. BSDA Option		<input type="checkbox"/> I/We wish to avail a BSDA Facility. <b>[As per details given below]</b> <input type="checkbox"/> I/We do not wish to avail a BSDA Facility and want to keep my account as regular account.											
BSDA Details		I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account.											
7. I/We would like to instruct the DP to accept all pledge instruction of my/our account without any further instruction from me/our end. (If not marked, the default option would be NO.)											<input type="checkbox"/> Yes <input type="checkbox"/> No		
8. I/We would like to share the e-mail Id with the RTA											<input type="checkbox"/> Yes <input type="checkbox"/> No		
9. Option to receive Annual Reports, AGM, Notices & Other Communications from Issuer & RTA is physical form											<input type="checkbox"/> Yes <input type="checkbox"/> No		
I) Guardian Details (where sole holder is a minor) : [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]													
Guardian Name								PAN					
Relationship of guardian with minor													
J) <input type="checkbox"/> I/We wish to make one time Self-declaration for Inter-Depository transfer of Government Securities. <b>[As per details given below]</b>													
<input type="checkbox"/> I/We do not wish to make one time Self-declaration for Inter-Depository transfer of Government Securities.													
Declaration Details		I/We hereby declare that I/We will submit only those Inter-Depository transfer Instructions in respect of Government Securities (G-Sec) which are bonafide and arising out of genuine trade or transfer transaction.											



<b>K) Nomination Option</b>	<input type="checkbox"/> I/We wish to make a nomination. <input type="checkbox"/> I/We do not wish to make a nomination. <b>[Details are provided at FORM 10]    [Strike Off the nomination details below]</b>
-----------------------------	---

### DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with **FEMA** regulations. **I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".**

	Name(s) of holder(s)	Signature(s) of holder
Sole/First Holder/Guardian (in case sole holder is minor) (Mr./Ms.)		✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./Ms.)		✓

### NOTES :

1. All communication shall be sent at the address of the Sole/First holder only.
2. 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.
3. For receiving Statement of Account in electronic form:
  - I. Client must ensure the confidentiality of the password of the email account.
  - II. Client must promptly inform the Participant if the email address has changed.
  - III. 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.
4. Strike off whichever is not applicable.

## Nomination Form

**R K GLOBAL SHARES & SECURITIES LTD.**

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

### 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 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

 Client ID 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

I/We wish to make a nomination. [As per details given below]

#### Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee																								
<b>1 Name of the Nominee(s)</b> (Mr./Ms.)																											
<b>2 Share of each Nominee</b> Equally [If not equally, please specify percentage]	%	%	%																								
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																											
<b>3 Relationship with the Applicant (if any)</b>																											
<b>4 Address of Nominee(s)</b>																											
City / Place																											
State & Country																											
PIN Code	<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>									<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>									<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								
<b>5 Mobile / Telephone No. of Nominee(s)</b>																											
<b>6 Email ID of Nominee(s)</b>																											
<b>7 Nominee Identification Details</b> [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																											

**Sr. Nos. 8-14 should be filled only if Nominee(s) is a minor**

<b>8 Date of Birth {in case of minor nominee(s)}</b>																											
<b>9 Name of Guardian (Mr./Ms.)</b> {in case of minor nominee(s)}																											
<b>10 Address of Guardian(s)</b>																											
City / Place																											
State & Country																											
PIN Code	<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>									<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>									<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>								

<b>11 Mobile / Telephone No. of Guardian</b>			
<b>12 Email ID of Guardian</b>			
<b>13 Relationship of Guardian with Nominee</b>			
<b>14 Guardian Identification Details</b>			
[Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
	<b>Name(s) of holder(s)</b>		<b>Signature(s) of holder*</b>
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

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

**Notes :** This nomination shall supersede any prior nomination made by the account holder(s), if any.

The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

#### DECLARATION FORM FOR OPTING OUT OF NOMINATION

<b>R K GLOBAL SHARES &amp; SECURITIES LTD.</b>										Date				D	D	M	M	Y	Y	Y	Y						
Regd. Office : 61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021																											
UCC/DP ID																		Client ID (only for Demat account)									
Sole/First Holder Name																											
Second Holder Name																											
Third Holder Name																											
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / 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 / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.																											
<b>Name and Signature of Holder(s)*</b>																											
1						2						3															

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

## Option for issuance of DIS booklet alongwith account opening

(to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)



## R K GLOBAL SHARES & SECURITIES LTD.

Regd. Off. : 61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021

Phone : (+91-22) 4210-5555, Fax : (+91-22) 4210-5500

E.mail : mumbai@rkglobal.in, Website : www.rkglobal.net

CIN : U99999MH1995PTC174185

DP ID : IN302453 & IN302951 ♦ SEBI REGN. NOS. : IN-DP-203-2001 & IN-DP-241-2016

E.mail ID for Investor Complaint : grievances@rkglobal.in

Name(s) of account holder(s)	
Sole / First Holder	
Second Holder	
Third Holder	

### Option for Issue of DIS booklet (please tick any one)

#### Option 1 ☐

I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

#### Option 2 ☐

I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.

Beneficial Owner	Name	Signature with date
Sole/First Holder		X
Second Holder		X
Third Holder		X



## ADDITION OF AADHAAR DETAILS


I/We do hereby solemnly declare that the detail herein above submitted by me/us is/are true to my/our knowledge.


I/We voluntarily give my/our consent to 'R K Global Shares & Securities Ltd.' to use my/our Aadhaar Details to authenticate from UIDAI and link the Aadhaar Number to all my/our existing/new accounts with your DP.


	NAME	AADHAAR
<b>Sole/First Holder</b>		
<b>Second Holder</b>		
<b>Third Holder</b>		

X \_\_\_\_\_ X \_\_\_\_\_ X \_\_\_\_\_  
 Signature of First/Sole Holder      Signature of Second Joint Holder      Signature of Third Joint Holder

### DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS [Please tick (✓) wherever applicable]

DP ID	IN302453 & IN302951	Client ID		Date	
Name of Sole / First Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Sole/First holder					

DP ID	IN302453 & IN302951	Client ID		Date	
Name of Second Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Second holder					

DP ID	IN302453 & IN302951	Client ID		Date	
Name of Third Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of Third holder					

**AUTHORISATION FOR PROVIDING DP TRANSACTION STATEMENT BY EMAIL OR ON WEBSITE**

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

To

**R K GLOBAL SHARES & SECURITIES LTD.**

61 Mittal Chambers, 6th Floor

228 Nariman Point

Mumbai - 400 021

Dear Sir,

You are requested to provide me/us holding/transaction statement including statement of account in the following manner:

1. I/we understand that I/we have a right to receive the Holding and Transaction Statement in physical form. I/we understand that I/we have the option to receive Holding & Transaction Statement by email, in lieu of physical form.
2. In case the DP sends the Holding and Transaction Statement through email at my/our registered Email Id \_\_\_\_\_, I/we hereby authorize them not to send physical form unless specifically requested by me.
3. I/we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of Holding and Transaction Statement to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.
4. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email ID.
5. I/we shall immediately inform the DP about change in email address.
6. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.

Thanking you,

Yours faithfully,

✓

Signature of the Client

**AUTHORITY LETTER**

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

To

**R K GLOBAL SHARES & SECURITIES LTD.**

61 Mittal Chambers, 6th Floor

228 Nariman Point

Mumbai - 400 021

**Sub : Authority to debit the Demat Charges**

<b>Beneficiary Client ID</b>	
<b>Trading Account Code</b>	

Dear Sir,

This is to inform you that,

1. I/we have a Beneficiary Account with you with Client ID as mentioned above.
2. I/we have a trading account with R K Global Shares & Securities Ltd. with trading code mentioned above.

With respect to the above mentioned subject and consideration, I/we hereby authorize you to debit the trading account maintained with R K Global Shares & Securities Ltd. for the debit charges payable to R K Global Shares & Securities Ltd., as Depository Participant for providing depository services. Any such amount debited to my/our Trading Account shall be binding on me/us.

Thanking You

Yours faithfully,

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

First Holder

VIII

Second Holder

Third Holder



Phone : (+91-22) 4210-5555, Fax : (+91-22) 4210-5500

E.mail : [mumbai@rkglobal.in](mailto:mumbai@rkglobal.in), Website : [www.rkglobal.net](http://www.rkglobal.net)

CIN : U99999MH1995PTC174185

DP ID : IN302453 & IN302951 ❖ SEBI REGN. NOS. : IN-DP-203-2001 & IN-DP-241-2016

E.mail ID for Investor Complaint : [grievances@rkglobal.in](mailto:grievances@rkglobal.in)



## SCHEDULE OF CHARGES FOR BENEFICIARY ACCOUNT

a.	Account Opening Charges	NIL
b.	Account Maintenance Charges	NIL
c.	Transaction Charges (BUY - Incoming)	NIL
d.	Transaction Charges (SELL - Outgoing)	Rs.12.50 per ISIN or 0.01% of the delivered securities (whichever is higher)
e.	Dematerialisation	NIL
f.	Rematerialisation	Minium Rs.40/- or Rs.20/- For every hundred Securities (whichever is higher)
g.	Margin Pledge initiation	Rs.12 per ISIN
h.	Margin Pledge release	Rs.12 per ISIN
i.	Failed Instruction	Rs.15/- per ISIN
j.	1st Delivery Instruction Book	NIL
k.	Every Additional Delivery Instruction Book	Rs.15/-
l.	Cheque Bounce Charges	Rs.300/-
m.	Modification in Client Master	Rs.15/- per request
n.	Periodic Statement - Email	NIL
o.	Periodic Statement - Physical	NIL
p.	Non Periodic Statement - Email	NIL
q.	Non Periodic Statement - Physical	NIL
r.	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. POA Charges Rs.20/- Monthly.

**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. GST 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.

### Signature of Account Holders

$\frac{x}{\text{First/Sole Holder}}$ 
 $\frac{x}{\text{Second Joint Holder}}$ 
 $\frac{x}{\text{Third Joint Holder}}$

# THE SHARPE FOUNDATION LTD

THE SHARPE FOUNDATION LTD  
INCORPORATED IN THE UNITED KINGDOM  
OF GREAT BRITAIN AND IRELAND  
REGISTERED OFFICE  
15, ABINGDON ROAD, OXFORD, OX2 0AB  
ENGLAND  
TELEPHONE 01865 200000  
FACSIMILE 01865 200001  
CABLES SHARPE OXFORD  
SHARPE FOUNDATION LTD  
15, ABINGDON ROAD, OXFORD, OX2 0AB  
ENGLAND  
TELEPHONE 01865 200000  
FACSIMILE 01865 200001  
CABLES SHARPE OXFORD



## DULY STAMPED - LIMITED POWER OF ATTORNEY

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s (first holder) \_\_\_\_\_

(Second Holder) \_\_\_\_\_

(Third Holder) \_\_\_\_\_

S/o, D/o, W/o \_\_\_\_\_ residing at / having registered office at \_\_\_\_\_

an Individual / a sole proprietary concern / a partnership firm / a body Corporate / trust, registered / incorporated, under the provisions of the (hereinafter referred to as "Beneficial Owner") wish to avail / have availed the broking / E-broking facilities and other services offered (hereinafter referred to as "Services"), by R K GLOBAL SHARES AND SECURITIES LIMITED, a Company incorporated under the Companies Act, 1956 and having its Regd. Office address at 61, 6th FLOOR, MITTAL CHAMBER, 228 NARIMAN POINT, MUMBAI - 400 021 (hereinafter referred to as 'Member') and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE) and BSE Limited (BSE) (hereinafter referred to as "the Exchange") and is also a "Depository Participant" registered with National Securities Depository Limited (NSDL).

WHEREAS Broker is providing various securities related services which inter alia include but not limited to transactions in connection with purchase or sale of securities, scripts, stocks, bonds, debentures, mutual fund units or any other financial instruments, mutual funds, buyback of shares, takeover or any other such transactions relating to securities and financial instruments within the guidelines and purview of SEBI.

WHEREAS I am / We are investor (s) engaged in buying, selling and trading of securities in Cash Segment and / or dealing in F&O and Currency Derivatives Segment of NSE / BSE through broker, a Member of National Stock Exchange of India Limited (NSE) having Member ID 08250 & BSE Limited (BSE) having Member ID 6218, bearing SEBI Regn. No. INZ000187132.

AND WHEREAS I/We hold a Beneficiary Account No. \_\_\_\_\_ (BO-ID) with Depository Participant R K Global Shares & Securities Ltd. registered with National Securities Depository Limited (NSDL), having DP-ID : IN302453 & IN302951 SEBI Regn. Nos. IN-DP- 203-2001 and IN-DP-241-2016.

AND WHEREAS due to exigency and paucity of time and as consideration for availing said services as well as a requisite for fulfilling the various conditions and requirements so as to avail of the services by R K GLOBAL SHARES AND SECURITIES LIMITED. I am / We are desirous of appointing an agent / attorney to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter stated. NOW KNOW I/WE ALL AND THESE PRESENTS WITNESS THAT I/WE THE ABOVE NAMED, do hereby, jointly and severally nominate, constitute and appoint R K GLOBAL SHARES AND SECURITIES LIMITED, a Stock Broker, acting through any of its directors and / or Authorised Persons, as my / our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me / us, in my / our name and on my / our behalf and at my/our risk and costs to do, exercise and perform all or any of the following acts, deeds and things :

- To do instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from my / our aforesaid beneficiary account to the CM pool accounts of Member for the purpose of delivering the same to the clearing house of the recognized stock exchange(s) in any segment to discharge my / our settlement obligations In respect of securities / unit sold by me / us through Member.
- To do instruct the aforesaid Depository Participant to pledge securities from my / our aforesaid Beneficiary Account to the Client Securities Margin Pledge Account of Member and re-pledge the same with Clearing Corporations ("CC") or Clearing Members ("CM") as margin deposits for the purpose of meeting margin obligations / requirements in connection with the trades executed by me / us through Member on the recognized stock exchange(s) in any segment.
- Pursuant to my instruction to tender shares in buyback, takeover or any other such transactions relating to securities and financial instruments within the guidelines and purview of SEBI.

The Demat account details of Member where shares can be transferred for above purposes is mentioned below:

Account Name	Depository	CMBP ID	A/C NO.
NSE Pool	NSDL	IN559600	IN302453-10000077
BSE Pool	NSDL	IN662182	IN302453-10146921

✓ \_\_\_\_\_ ✓ \_\_\_\_\_ ✓ \_\_\_\_\_  
First/Sole Holder Second Joint Holder Third Joint Holder

Third Joint Holder

Second Joint Holder

First/Sole Holder

NSCCL MF	NCL	IN565576	1100001100017837
BSE	INDIAN CL CORP	IN620031	1100001000020972

<b>Account Name</b>	<b>Depository</b>	<b>DP ID</b>	<b>Client ID</b>
TM CM Client Sec Margin Pledge	NSDL	IN302453	10264552
TM Client Sec Margin Pledge	NSDL	IN302453	10264544

- To do all such other acts or deeds which Member in its discretion considers necessary in this connection in order to complete the transaction(s); so, however, that nothing herein shall preclude me from operating the designated Beneficiary Account, subject always to powers granted herein to Member for the purposes of the Member Client relationship.
- In case the securities that may have been delivered / transferred / credited to my DP account erroneously by Member or those securities that I was not entitled to receive, then Member is authorized to instruct the DP to reverse such transactions without obtaining any authorization from me.

AND I / we hereby agree that Member shall exercise such powers and authorities conferred under the above Power of Attorney pursuant only to the instructions in that behalf given by me which may be given verbally over the telephone, through the internet, electronically or in any other manner acceptable by Member and such instruction shall be deemed to have been given by me/us and shall be conclusive and binding on me/us and if necessary it may be ratified by me/us on the instruction of the said attorney.

Provided always that Member would return to me/us the securities that may have been received by it erroneously or those securities that it was not entitled to receive from me/us.

I DO HEREBY for myself, my heirs, executors and administrators agree to ratify, confirm and validate all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.

This authority is restricted to the margin and pay-in obligations arising out of the transactions of trades executed by me/us through R K GLOBAL SHARES AND SECURITIES LIMITED and I / We ratify the instructions given by my said Attorney to the Depository Participant named herein above in the manner specified herein.

Subject only to the satisfaction of all amounts / dues payable by me/us to Member in respect of any services/facilities provided in connection with this Power of Attorney, the Member Client relationship or any other document(s) executed between the parties this Power of Attorney is revocable by me at any time without notice.

This Power of Attorney shall be subjected to the jurisdiction of the Courts in Mumbai.

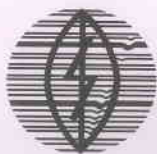
In WITNESS WHEREOF I/we have executed this Power of Attorney on the day, date and year herein below mentioned.

I / We hereby agree that any dispute arising out of all trades, transactions and contracts will be settled under the Bye-laws, Rules and Regulations of the concerned Stock Exchange where the trades have been executed and depository related issues under the bye laws of the concerned Depository, where the concerned beneficial owner demat account is held.

#### SIGNED AND DELIVERED

(By the within named Beneficial Owner)

Name of the Holder(s) / Authorised Signatory(ies)		Signature(s)	
1st Holder/ Authorised Signatory			
2nd Holder/ Authorised Signatory			
3rd Holder/ Authorised Signatory			
POA Holder ✓	For R K Global Shares and Securities Ltd.	Witness 1	Witness 2
		NAME	NAME
		ADDRESS	ADDRESS
		ADDRESS	ADDRESS
	(Director / Authorised Signatory)	ADDRESS	ADDRESS



## Acknowledgement

# R K GLOBAL SHARES & SECURITIES LTD.

Regd. Off. : 61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021

Phone : (+91-22) 4210-5555, Fax : (+91-22) 4210-5500

E.mail : mumbai@rkglobal.in, Website : www.rkglobal.net

CIN : U99999MH1995PTC174185

DP ID : IN302453 & IN302951 ❖ SEBI REGN. NOS. : IN-DP-203-2001 & IN-DP-241-2016

E.mail ID for Investor Complaint : grievances@rkglobal.in

Serial No. :

Received the application from Mr/Ms/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.

For R K Global Shares & Securities Ltd.

Seal and Signature

Date : 

D	D	M	M	Y	Y	Y	Y
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Authorised Signatory

### Acknowledgement Receipt

Received Nomination Form from :

DP ID	IN302453 & IN302951	Client ID											
Name													
Address													
Nomination in favour of													
No Nomination	<input type="checkbox"/> Does not wish to nominate												
Registration No.					Registered on	D	D	M	M	Y	Y	Y	Y

For R K Global Shares & Securities Ltd.

Seal and Signature

Authorised Signatory

### Acknowledgement Receipt

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

DP ID	IN302453 & IN302951	Client ID							
Name of the Sole / First Holder									
Name of Second joint Holder									
Name of Third joint Holder									

For R K Global Shares & Securities Ltd.

Seal and Signature

Authorised Signatory

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Dated : \_\_\_\_\_

From :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To

**R K GLOBAL SHARES & SECURITIES LTD.**

61 Mittal Chambers, 6th Floor

228 Nariman Point

Mumbai - 400 021

**Ref. : Acknowledgement for the receipt of documents**

Dear Sir,

This is to acknowledge and declare that

- ☐ I/We have received a photocopy of the KYC (full booklet), duly executed with you, to my/our satisfaction including my / our Unique Client Code (Trading Code).
- ☐ I/We have (☐ Physically ☐ Electronically) received, read and understood the Rights & Obligations, Risk Disclosure Documents, Guidance Note, the Rights and Obligations of Beneficial Owner and Depository Participant" as prescribed by SEBI and Depositories.
- ☐ I/We have received, read and understood the Policies and Procedures.
- ☐ I/We have received a photocopy of Power of Attorney.
- ☐ The email id noted with you (for ECN and other purposes) is correct.
- ☐ I/We have received Charge Structure & Client Master Report.

Thanking you,

Yours truly,

✓ \_\_\_\_\_

Signature of the Client

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



## ACCOUNT OPENING KIT

**Name of Stock Broker / Trading Member / Clearing Member :**  
**R K GLOBAL SHARES & SECURITIES LTD.**

**SEBI Regn. No. and Date :** INZ000187132 Dt. 30.07.2018

**Registered Office address :**

61 Mittal Chambers, 6th Floor, 228 Nariman Point, Mumbai - 400 021  
Phone : (+91-22) 4210-5555, Fax : (+91-22) 4210-5500  
E.mail : mumbai@rkglobal.in, Website : www.rkglobal.net  
CIN : U99999MH1995PTC174185

**Correspondence Office address :**

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001  
Phone : (+91-11) 4310-0999, Fax : (+91-11) 2338-5640

**Name of Clearing Member (For NSE-F&O, NSE-Currency, BSE-F&O & BSE-Currency Segments) :** SMC GLOBAL SECURITIES LTD.

**SEBI Regn. No. and Date :** - INZ000199438 Dt.12.09.2018

**Registered & Correspondence Office address :**

11/6B, Shanti Chambers, Main Pusa Road, New Delhi - 110 005  
Phone : (011) 2575-4391, 3011-1000 / 1333, Fax : (011) 2575-4365  
E.mail : smc@smcindiaonline.com, Website : www.smctradeonline.com

**Compliance Officer Name, Phone No. & email ID :**

Mr Kamesh Gupta, (+91-11) 4310-0999, kgupta@rkglobal.in

**CEO Name, Phone No. & email ID :**

Mr Amit Bhagchandka, (+91-11) 4310-0999, amit@rkglobal.in

For any grievance/dispute, please contact **R K GLOBAL SHARES & SECURITIES LTD.** at the above address or email id : grievances@rkglobal.in and Phone No. : (011) 4310-0999. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone No. (022) 2659-8190 for NSE and at is@bseindia.com and Phone No. (022) 2272-8097 for BSE.

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003 :

We, **R K GLOBAL SHARES & SECURITIES LTD.**, are also engaged in Proprietary trading apart from Client based business.

## Registered Office :

61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021  
Phone : (+91-22) 4210-5555, E.mail : mumbai@rkglobal.in

## Regional Offices :

### Ahmedabad

4th Floor, Agarwal Complex, Beside Municipal Market  
Near Swastik Cross Road, C. G. Road, Ahmedabad - 380 009  
Phone : 85116-97109, 85115-97109, E.mail : ahmedabad@rkglobal.in

### Bengaluru

Schedule Premises No. 1554, New Municipal No. 13/1,  
Having PID No. 58-45-13/1-10, Situated at 39th F Cross  
4th T block, Jayanagar, Bengaluru - 560 011  
Phone : (+91-80) 2654-0101, E.mail : bengaluru@rkglobal.in

### Chennai

672/476, Anna Salai, 8th Floor, Temple Tower  
Nandanam, Chennai - 600 035  
Phone : (+91-44) 4571-3900, E.mail : chennai@rkglobal.in

### Delhi

Flat-5, Sagar Apartment, 6 Tilak Marg, New Delhi - 110 001  
Phone : (+91-11) 4310-0999, E.mail : care@rkglobal.in

### Jaipur

H. No. : 412, Haveli Chansen, Above Choudhary Medical Hall  
Near Red Cross Building, Sanganeri Gate, Jaipur - 302 003  
Phone : (+91-141) 260-5599 E.mail : jaipur@rkglobal.in

### Kolkata

81/2/7, Phears Lane, 4th Floor, Bowbazar, Kolkata - 700 012  
Phone : (+ 91-33) 4014-1999 / 2999, E.mail : care.kolkata@rkglobal.in

### Salem

No. B4, First Floor, Jayam Residency, Fairlands, Salem - 636 004  
Landmark - Next of SKS Hospital  
Phone : (+91-427) 233-1799, 244-0799, E.mail: salem@rkglobal.in

## Contact Us :



care@rkglobal.in



(+91-33) 4014-1999 / 2999



www.rkglobal.in