



Bagged Market Excellence Award for the "Emerging Broking House" 2016



Bagged NSDL Best Performer in Account Growth Rate (Big DP) consecutively for 3 years in 2013, 2014 & 2015

## ACCOUNT OPENING FORM (TRADING & DEMAT)

### IN-PERSON VERIFICATION

Client Name .....

Code.....

By sign .....

Name of the Employee.....

Date.....

Place.....

**R K Global**  
Shares & Securities Ltd

"Every Client is our Priority"

For Assistance Call: 011-4310 0999 | Email: care@rkglobal.in

# R K Global Shares & Securities Ltd

I hereby acknowledge the receipt of copy of duly executed account opening form, Rights and Obligations, RDD and all other documents as executed by me.

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

Trading Code : \_\_\_\_\_

Contact no : \_\_\_\_\_

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



(Signature of Client)

# R K Global Shares & Securities Ltd

DP ID: IN302453 / IN302951

Date :

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

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

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

|  | Name | Signature(s) of Account Holder(s) |
|--|------|-----------------------------------|
|--|------|-----------------------------------|

**Sole/First Holder :**



**Second Holder :**



**Third Holder :**



# R K Global Shares & Securities Ltd

## Acknowledgement

DP ID: IN302453 / IN302951

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

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

Received the application from Mr/Ms \_\_\_\_\_ as the sole/first holder along with \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date :

Participant Stamp & Signature

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Name of trading member : R K GLOBAL SHARES & SECURITIES LTD

SEBI Registration No. and date : INB/INE/INF 230825035, INE 260825035, INB/INF 010825033

Registered office address : 61, 6th Floor, Mittal Chambers, 228, Naiman Point, Mumbai-400 021

Phone : +91-22-4210 5555, Fax : +91-22-4210 5500, Website : [www.rkglobal.net](http://www.rkglobal.net)

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, Website : [www.rkglobal.net](http://www.rkglobal.net)

Compliance officer name, phone no. & email id : Mr. Kamesh Gupta, +91-11-4310 0999, [kgupta@rkglobal.in](mailto:kgupta@rkglobal.in)

For any grievance/dispute please contact R K Global Shares & Securities Ltd at the above address or email id-[grievances@rkglobal.in](mailto: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](mailto:ignse@nse.co.in)/[investorcomplaints@mcx-sx.com](mailto:investorcomplaints@mcx-sx.com)/[is@bseindia.com](mailto:is@bseindia.com) and Phone no. 91-1800220051/22-67318933/22-22728097 respectively.

I have fully understood the distinction and details regarding the Mandatory/Non-Mandatory agreement/declaration/authorisation and do hereby enter and sign the same and agree not to call into question the validity, enforceability and applicability of any voluntary agreement(s)/document(s) or clauses within any voluntary/optional agreement(s)/document(s) under any circumstances what so ever.



(Signature of Client)

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

For Individuals

I request you to register myself as your client and enable me to trade in the Cash/F&O/Currency Derivatives Segment of the National Stock Exchange of India Ltd., Cash/F&O Segment of the Bombay Stock Exchange Ltd. & in the Currency Segment of the Metropolitan Stock Exchange Ltd. Pursuant to the Agreement entered into with you, I have read the Rules, Bye-laws & Regulations of the Cash, F&O and Currency Derivatives Segment of the NSE/BSE & Metropolitan Stock Exchange Ltd.(the Exchange) & agree to abide by them. In this regard, I give the following information :

**PHOTOGRAPH**  
Please affix your recent  
passport size photograph and  
sign across it

Application Type : \_\_\_\_\_ KYC No. : \_\_\_\_\_ Account Type : \_\_\_\_\_

I request you to open a depository account in my name as per the following

|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|

**Please fill this form in English and in BLOCK LETTERS.**

**A. IDENTITY DETAILS**

1. Name of the Applicant :
2. Maiden Name (if any) :
3. Father's / Spouse Name : Mother's Name : 4. a. Gender :
- b. Marital status : c. Date of Birth : d. Place Of Birth :
5. a. Nationality : b. Status : c. Occupation :
6. a. PAN : b. Unique Identification No.(UID)/Aadhaar :
7. Specify the proof of Identity submitted : Identity Submitted No.: Expiry Date:

**B. ADDRESS DETAILS (Current/Permanent/Overseas)**

☐ **Residence** ☐ **Correspondence**

**1. Address :**

City : Pin Code : State : Country :

**2. Contact Details :**

Tel.(Off) Tel.(Res.) Mobile Fax :  
E-mail :

**3. Specify the proof of address submitted for correspondence address :**

Identity Expiry Date:

**4. Permanent Address :**

City : Pin Code : State : Country :

*(if different from above or overseas address, mandatory for non-resident applicant)*

**5. Specify the proof of address submitted for permanent address :**

Identity Expiry

**FOR OFFICE USE ONLY : In Person Verification (IPV) Details :-**

- ☐ (Originals verified) True copies of documents received  
☐ (Self-Attested) Self Certified Document copies received

Name Of The Person Doing IPV :-

Designation :-

Name Of The Institution :-

Person Employee Code :-

Code of the Organisation :-

(.....)

Signature of the Authorised Signatory

Date

Seal/Stamp of the intermediary

Place :

## TRADING & DEMAT ACCOUNT RELATED DETAILS

### A. BANK ACCOUNT(S) DETAILS

Bank Name :  
 Branch Address :  
 Bank account no. :  
 Account Type :  
 MICR Number :  
 IFSC code :

### B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Name :  
 DP Name :  
 DP ID :  
 Beneficiary Name :  
 Beneficiary ID :

### C. OTHER DETAILS FOR TRADING & DEMAT (IF ANY)

#### 1. Gross Annual Income Details (please specify) :

Income Range per annum :

**Networth as on date :**

#### 2. Occupation :

#### 3. Please tick, if applicable :

☐

Politically Exposed Person (PEP)

☐

Related to a Politically Exposed Person (PEP)

#### 4. Any other information :

#### 5. Type of account :

#### 6. In case of NRIs/ Foreign Nationals

RBI Approval Reference Number :

RBI Approval date :

#### 7. Standing Instructions

- |                                                                                 |                                                                                                  |
|---------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|
| i. I/We authorise you to receive credits automatically into my/our account.     | : <b>Yes / No</b>                                                                                |
| ii. Account to be operated through Power of Attorney (PoA)                      | : <b>Yes / No</b>                                                                                |
| iii. SMS Alert facility : *[Mandatory if you are giving Power of Attorney (PoA) | : <b>Yes / No</b>                                                                                |
| a) Sole/First Holder                                                            | : <b>Yes / No</b>                                                                                |
| b) Second Holder                                                                | : <b>Yes / No</b>                                                                                |
| c) Third Holder                                                                 | : <b>Yes / No</b>                                                                                |
| iv. Mode of receiving Contact Note/Statement of Account [Tick any one]          | <input type="checkbox"/> <b>Physical Form</b><br><input type="checkbox"/> <b>Electronic Form</b> |

*\* Ensure that mobile no./email id is provided in KYC application form*

### D. TRADING PREFERENCES

| Segments |              |                          | Signatures |
|----------|--------------|--------------------------|------------|
| 1.       | NSE Cash     | <input type="checkbox"/> |            |
| 2.       | NSE F&O      | <input type="checkbox"/> |            |
| 3.       | NSE Currency | <input type="checkbox"/> |            |
| 4.       | BSE Cash     | <input type="checkbox"/> |            |
| 5.       | BSE F&O      | <input type="checkbox"/> |            |
| 6.       | MCX Currency | <input type="checkbox"/> |            |
| 7.       | Demat A/c    | <input type="checkbox"/> |            |

*\*Please sign near the relevant check boxes where you wish to trade. The segment not chosen should be struck off by the client*

# 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.

#### E. PAST ACTIONS

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

#### F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-brokers Name : \_\_\_\_\_ SEBI Registration number : \_\_\_\_\_

Registered office address : \_\_\_\_\_

Ph : \_\_\_\_\_ Fax : \_\_\_\_\_ Website : \_\_\_\_\_

- 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 : \_\_\_\_\_

#### G. ADDITIONAL DETAILS

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) : ☐ YES ☐ NO :  
If Yes, Please tick the mode of Trade ☐ Web ☐ EXE
- Number of years of Investment/Trading Experience \_\_\_\_\_ :
- Any other information : \_\_\_\_\_

#### H. INTRODUCER DETAILS (optional)

Name of the Introducer : \_\_\_\_\_

(Name)

(Middle Name)

(Surname)

Status of the Introducer : Sub-broker/Authorized Person/Existing Client please specify: \_\_\_\_\_

Address and phone no. of the Introducer : \_\_\_\_\_ Signature of the Introducer : \_\_\_\_\_

#### I. NOMINATION DETAILS (for trading & demat, if any)

I/We wish to make a nomination and do hereby nominate the following person in whom all rights and / or amount payable in respect of securities held in the Depository by me / us in the said beneficiary owner account shall vest in the event of my / our death.

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee : Relationship with the Nominee :

PAN of Nominee : \_\_\_\_\_ Date of Birth of Nominee : \_\_\_\_\_

Address of the Nominee : \_\_\_\_\_ Ph: \_\_\_\_\_

**If Nominee is a minor, details of guardian :**

Name of Guardian : \_\_\_\_\_ Address and phone no. of Guardian : \_\_\_\_\_

Demat A/c Details : DP ID: \_\_\_\_\_ Client ID : \_\_\_\_\_

Signature of Guardian \_\_\_\_\_

**WITNESSES** (Only applicable in case the account holder has made nomination)

Name \_\_\_\_\_ Name \_\_\_\_\_

Signature \_\_\_\_\_ Signature \_\_\_\_\_

PHOTOGRAPH of  
nominee  
signature of nominee  
across photograph

X Signature of nominee

## DECLARATION

1. 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 change therein, immediately.
2. I confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/nonmandatory documents.
3. I further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.
4. The rules and regulations of the Depository and Depository Participants pertaining to any account which are in force now have been read by me and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I also declare that I have complied and will continue to comply with FEMA regulations. I acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".
5. 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.
6. I hereby give consent to receive information from Central KYC Registry through SMS/Email on the above registered mobile number/email address.

Place :

(Signature of Client)

(Signature of Client)

(Signature of Client)

Date :

## PRO DISCLOSURE

To,

Dear Sir / Madam,

Under instruction of SEBI, The National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE), Metropolitan Stock Exchange Ltd. (MCX-SX) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we as a company do engage in proprietary Business in the National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd. / Metropolitan Stock Exchange Ltd.

Kindly take note of the above and oblige.

Thanking you

For R K Global Shares & Securities Ltd

Authorised Signatory

## FOR OFFICE USE ONLY

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

|                             | Documents verified with Originals |
|-----------------------------|-----------------------------------|
| Name of the Employee        |                                   |
| Employee Code               |                                   |
| Designation of the employee |                                   |
| Date :                      |                                   |
| Signature                   |                                   |

*I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/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*

Date :

Signature of the Authorised Signatory

Seal/Stamp of the Member

**R K GLOBAL SHARES & SECURITIES LTD**
**DEPOSITORY PARTICIPANT OF NSDL (DP - ID :** ☐ **IN302453 /** ☐ **IN302951 )**
**Registered** 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400 021

**Office :** P : 91-22-42105555, F : 91-22-42105500, E : care@rkglobal.in

**Corporate** Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

**Office :** P : 91-11-43100999, F : 91-11-23385640, E : care@rkglobal.in, W : www.rkglobal.net

**Regional** Room No.M-29 & 30, Mezzanine Floor, 6 Lyons Range,Fortune Chambers, Turner Morrison Building, Kolkata-700001

**Office :** P : 033-40174999

**CHARGES SCHEDULE**
**Content**
**DP Id - IN302951**
**ACCOUNT OPENING CHARGES**

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

**For POA Clients**

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

**TRANSACTION CHARGES**

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

**DELIVERY INSTRUCTION**

|    |                                            |                     |
|----|--------------------------------------------|---------------------|
| a. | Failed Transaction                         | Rs 15/- per ISIN    |
| b. | 1st Delivery Instruction Book              | NIL                 |
| c. | Every Additional Delivery Instruction Book | Rs 15/-             |
| d. | Cheque Bounce Charges                      | Rs 300/-            |
| e. | Modification in Client Master              | Rs 15/- per request |
| f. | KRA Upload / Download                      | Rs 30/-             |

**PERIODIC/NON PERIODIC STATEMENT**

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

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

**NOTE :**

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

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

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

(Signature of Client)

(Signature of Client)

(Signature of Client)

**Sole/First Holder Signature**
**Second Holder Signature**
**Third Holder Signature**

## TARIFF SHEET

### BROKERAGE STRUCTURE

| Brokerage Slab  | Per Lot (#) | % (*) | Min. Paisa | Sign in case of cutting |
|-----------------|-------------|-------|------------|-------------------------|
| Delivery Based  |             |       |            |                         |
| Daily Square up |             |       |            |                         |
| Equity Future   |             |       |            |                         |
| Equity Option   |             |       |            |                         |
| Currency Future |             |       |            |                         |
| Currency Option |             |       |            |                         |

\* : Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.

# : Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per Lot only.

### RUNNING ACCOUNT AUTHORISATION

To,  
R K Global Shares & Securities Ltd.  
Registered Office : 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021  
Ph. : 022-42105555, Fax : 022-42105500, E-mail : care@rkglobal.in

I am dealing through you as a client in Capital Market and/or Future & Options segment and/or Currency Derivative segment and/or Interest Rate Future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the exchange(s)/clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the exchange(s)/clearing corporation unless I/we instruct you to transfer the same to my/our account.
3. I/we request you to settle my fund and securities account once in every calendar Quarter or once in a calendar month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
4. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/fund towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchange.
5. I/We further authorize you to retain an amount of up to Rs.10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or Settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

My/Our preference for actual settlement of funds & securities is atleast :

☐ Once in a Calendar Quarter ☐ Once in a Calendar Month

Thanking you,

Yours faithfully,



(Signature of Client)

Name :

Date :

## POWER OF ATTORNEY

To all to whom these presents shall come I / we .....Indian Inhabitants send greetings. Whereas I / we have a beneficiary Account bearing No. .... In the name and style of ..... (Hereinafter referred to as the said

Account) with R K Global Shares & Securities Ltd., having its Registered Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400 021 and ..... (Herein after called The DP) and I / we am/ are desirous of appointing an agent / attorney to operate said account on my/ our behalf in the manner herein after appearing.

Now know we all and those presents witness that I / we, the above named do hereby nominate, constitute and appoint R K Global Shares & Securities Ltd., an Indian Company having its Registered Office at 61, 6th Floor, Mittal Chambers, 228, Nariman Point, Mumbai-400 021, as my / our true and lawful attorney(s) (Hereinafter referred to as The Attorney(s)) for me /us and on my/ our behalf and in my/ our name to do the following acts, deeds and things and exercise the following powers and authorities.

1. To do all such things and give all such instructions as mentioned below concerning, the said account as I/ we myself/ ourselves could give if I / we was/ were personally present. To instruct the DP to debit securities to the said account and/ or transfer securities from the said account to any other account to below mentioned Demat Accounts, to the extent of shares sold through R K Global Shares & Securities Ltd., for Pay-in obligations as well as for Margins towards any stock exchange both in cash and derivatives segments.
2. And I/we hereby agree and confirm that the powers and authorities conferred by this power of attorney shall continue until notice of revocation given by me/us in writing to R K Global Shares & Securities Ltd. However, such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA.

| DP Name                                       | CM ID     | Pool A/c No. |
|-----------------------------------------------|-----------|--------------|
| R K Global Shares & Securities Ltd. (NSE)     | IN 559600 | 10000077     |
| R K Global Shares & Securities Ltd. (BSE)     | IN 662182 | 10146921     |
| DP Name                                       | DP ID     | A/c No.      |
| R K Global Shares & Securities Ltd. (NSE-F&O) | IN 302453 | 10004544     |
| R K Global Shares & Securities Ltd. (BSE-F&O) | IN 302453 | 10146751     |

(Signed and delivered)

(Signature of Client)

Sole/First Holder Signature

By the within named)

\_\_\_\_\_)

\_\_\_\_\_)

In the presence of)

\_\_\_\_\_)

\_\_\_\_\_)

(Signature of Client)

Second Holder Signature

By the within named)

\_\_\_\_\_)

\_\_\_\_\_)

(Signature of Client)

Third Holder Signature

Date:

Place:

PAN No. : \_\_\_\_\_  
 DP ID : \_\_\_\_\_  
 Name : \_\_\_\_\_  
 Place of Birth : \_\_\_\_\_  
 Nationality : \_\_\_\_\_

Trading Code: \_\_\_\_\_  
 Client ID : \_\_\_\_\_  
 Country of Birth : \_\_\_\_\_

Annual Income : ☐ Below 1 Lac ☐ 1 Lac to 5 Lac ☐ 5 Lac to 10 Lac  
☐ 10 Lac to 25 Lac ☐ 25 Lac to 1 Crore ☐ Above 1 Crore

Net Worth 500000 Net Worth as on : \_\_\_\_\_

(Net worth should not be older than 1 year)

Occupational Detail : ☐ Business ☐ Private Sector ☐ Professional ☐ Govt. Service  
☐ Agriculturist ☐ Public Sector ☐ Housewife ☐ Student  
☐ Retired ☐ Forex Dealer ☐ Other \_\_\_\_\_ (Pl Specify)

Politically Exposed person (PEP) ☐ Related to Politically Exposed person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ NO

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below:

| Sr.No. | Country | Tax Identification Number | Identifacation Type (TIN or Other, please specify) |
|--------|---------|---------------------------|----------------------------------------------------|
| 1.     |         |                           |                                                    |
| 2.     |         |                           |                                                    |
| 3.     |         |                           |                                                    |
| 4.     |         |                           |                                                    |

### DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this form is true, correct and complete. I hereby agree and confirm to inform R K Global Shares and Securities Ltd for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI)

Signature here :

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

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

Please submit the form fully filled, signed, for all the holders, separately and submit at your nearest R K Global Shares & Securities Ltd branch or you can dispatch the hard copy to-

R K Global Shares & Securities Ltd  
 Mezzanine Floor, Room No. 37  
 Fortune Chambers, Turner Morrison Building  
 6 Lyons Range, Kolkata - 700 001

## TRADING TECHNICAL AND DERIVATIVES RESEARCH (TTD)

Caution : Trading in the derivatives segment or in the capital market segment using technical charts or short term indicators (trading calls) is a high risk and requires skill, experience and knowledge of the capital markets. Certain transactions including those involving futures, options and other derivatives as well as non- investment grade securities involve substantial risk and are not suitable for all investors. STOP LOSS ORDERS help limit loss but even placing contingent orders, such as stoploss or sotplimit orders will not necessarily limit your losses to the intended amounts, and it is important that only a small portion of your corpus is allocated to such trading. Leverage can lead to large losses as well as gains. You may sustain a total loss of the initial margin funds and any additional funds that you deposit with us to establish or maintain a position, and you incur losses beyond your initial investment.

### TERMS AND CONDITIONS

R K Global Shares & Securities Ltd. (R K Global) will, at its discretion, provide its trading call, technical and derivatives reports as also market news to its clients either in the form of a written market commentary or research report sent in e-mail, fax form, SMS or through postal or courier service. A brief extract of the TTD reports may also be sent, on enrolment, in SMS, e-mail or fax form.

### To avail of TTD reports, clients are required to understand and confirm/accept the following :

1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understand the important disclosures and disclaimers forming part of each report.
2. TTD reports are for the general information of clients of R K Global. They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
3. No informations published in TTD Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in TTD reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
4. The information published and opinions expressed provided by R K Global for personal use and for informational purposes only and are subject to change without notice, R K Global makes no representation (either express or implied) that the information and opinions expressed in TTD Reports will be accurate, complete or up to date. Clients should obtain advice from a qualified expert before making any trading decision. The stated price of any securities mentioned in TTD Reports will be as of the date indicated and is not a representation that any transaction can be effected at this price. Neither R K Global nor other persons shall be liable for any direct, indirect, special, incidental, consequential, positive or exemplary damages, including lost profits arising in any way from the information contained in TTD Reports.
5. R K Global will exercise due diligence in checking the correctness and authenticity of the information contained in TTD Reports, but R K Global or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in TTD Reports or any action

Reports. Price and value of the securities forming part of TTD Reports may go up or down. Past performance is not guide for future performance.

6. R K Global may use brand names for all or any of TTD reports. Such names would represent the brand and not the nature or feature of TTD reports.
7. TTD reports will include commentary on derivatives trading, technical analysis and limited review of stocks and may not be based on comprehensive
8. R K Global has two independent equity research groups : Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of TTD Reports. A designated team from the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in TTD Reports may or may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the TTD Reports with regard to estimates, rating, target price as evaluation are based on different criteria.
9. The contents of the TTD Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from R K Global.
10. The proprietary trading and investment businesses of the R K Global Group may make investment decisions that are inconsistent with the views expressed in the TTD reports.
11. R K Global and its affiliates, officers, directors and employees world-wide may : (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies) mentioned in the TTD Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company(ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in TTD Reports.
12. R K Global reserves the option to provide all or any of the TTD reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
13. Clients who enroll for SMS/e-mail/fax delivery of brief extract of TTD reports
14. R K Global does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the TTD reports or their extracts. The same is provided on an as-is and as-available basis.
15. Users should check with their service providers/operator for charges, if any.

### CLIENT ACCEPTANCE

I/We hereby acknowledge that, R K Global may at its discretion, at my/our request provide me/us with TTD Reports of its brief extract. I/We have made the request after understanding and accepting its terms, conditions and risks set forth above.

Sign here : \_\_\_\_\_

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

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

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

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

**TERMS AND CONDITIONS**

R K Global Shares & Securities Ltd. (R K Global) will, at its discretion, provide its trading company research reports/news, results and event updates/sector reports monthly commentary/regular compendium (together Reports) to its clients either in the form of a written market commentary or research report sent in e-mail, fax form, SMS or through postal or courier service. A brief extract of the TTD reports may also be sent, on enrolment, in SMS, e-mail or fax form.

**To avail of reports, clients are required to understand and confirm/accept the following :**

1. Clients have read and understood in full the terms and conditions contained in the member client agreement and risk disclosure documents provided therein. Clients are also to read and understand the important disclosures and disclaimers forming part of each report.
2. The reports are for the general information of clients of R K Global. They do not constitute a personal recommendation or take into account the particular investment objectives, financial situations, or needs of the individual clients.
3. No informations published in Reports constitute a solicitation or offer, or any kind of recommendation, to buy or sell any investment instruments, to effect any transactions, or to conclude any legal act of any kind whatsoever and the risk of loss on the basis of information published in reports can be substantial. Clients should, therefore, carefully consider whether such trading is suitable for them in light of their circumstances and financial resources.
4. The information published and opinions expressed provided by R K Global for personal use and for informational purposes only and are subject to change without notice, R K Global makes no representation (either express or implied) that the information and opinions expressed in Reports will be accurate, complete or up to date. Clients should obtain advice from a qualified expert before making any trading decision. The stated price of any securities mentioned in Reports will be as of the date indicated and is not a representation that any transaction can be effected at this price. Neither R K Global nor other persons shall be liable for any direct, indirect, special, incidental, consequential, positive or exemplary damages, including lost profits arising in any way from the information contained in Reports.
5. R K Global will exercise due diligence in checking the correctness and authenticity of the information contained in Reports, but R K Global or any of its affiliates or directors or officers or employees shall not be in any way responsible for any loss or damage that may arise to any person from any inadvertent error in the information contained in Reports or any action taken on basis of Reports. Price and value of the securities forming part of Reports may go up or down. Past performance is not guide for future performance.
6. R K Global may use brand names for all or any of reports. Such names would represent the brand and not the nature or feature of reports.
7. R K Global has two independent equity research groups : Institutional Equities Research Group and Private Client Group. The Private Group is responsible for the preparation of Reports. A designated team from the Private Research Group also prepares reports based on fundamental evaluation of companies. The views and opinions expressed in Reports may or may not match or may be contrary with the views, estimates, rating, target price, of reports of the Institutional Equities Research Group and Private Client Group dealing in fundamental research. Further, there may be a contrary view within the Reports with regard to estimates, rating, target price as
8. The contents of the Reports cannot be copied, reproduce, republished, uploaded, posted, transmitted or distributed for any non-personal use without obtaining prior permission from R K Global.
9. The proprietary trading and investment businesses of the R K Global may make investment decisions that are inconsistent with the views
10. R K Global and its affiliates, officers, directors and employees world-wide may : (a) from time to time, have long or short positions in, and buy or sell the securities thereof, of company(ies) mentioned in the Reports or (b) be engaged in any other transaction involving such securities and earn brokerage or other compensation or act as a advisor or lender/borrower to such company(ies) or have other potential conflict of interest with respect to any view and related information and opinions mentioned in Reports.
11. R K Global reserves the option to provide all or any of the reports and the right to suspend or vary the whole or any part of the same for any reason, at any time at its sole discretion.
12. Clients who enroll for SMS/e-mail/fax delivery of brief extract of reports are required to read the full reports.
13. R K Global does not guarantee completeness, error, delay, interruption or timeliness or delivery in whole or in part of any of the reports or their extracts. The same is provided on an as-is and as-available basis.
14. Users should check with their service providers/operator for charges, if any.

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Sign here : \_\_\_\_\_

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

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

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

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

## LETTER OF AUTHORITY

To,  
R K Global Shares & Securities Ltd.  
Regd. Office : 61, 6th Floor, Mittal Chambers  
228, Nariman Point, Mumbai - 400 021

### STANDING INSTRUCTIONS/AUTHORISATION

I/we have been/shall be dealing through you as my broker on the Capital Market, Futures & Options Segments and/or Currency Segment. As my Broker i.e. agent I/we direct and authorise you to carry out trading/dealings on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my/our verbal directions/authorisations given and carried out by you earlier.

1. Maintain a running account in my/our name your books of accounts and issue me/us cheques for the credit balance only as and when requested by me/us in writing
2. Retain securities from my/our securities payout with you till request is made by me/us.
3. Retain payout of funds and/or securities to meet our margin and pay in obligations and/or debit my/our running account for the margin payable by me/us.
4. Transfer funds and/or securities from my/our account/running account in the Capital Market Segment to my/our Derivatives running account and vice versa whenever applicable and found necessary by you.
5. I understand that you require written instructions for receiving/modifying or cancelling orders. However, since it is not practical to give written instructions for every order, I hereby authorise you to kindly accept my/my authorised representatives, verbal instructions/orders in person or over phone and execute the same.
6. I agree that any loss due to any erroneous order entry/erroneous order modification shall be entertained by R K Global Shares & Securities Limited only to the extent of insurance received.
7. Send my/our contract notes electronically on my/our email id viz, I/we agree not to hold you responsible for late/non-receipt of the same for any reasons including failure of email servers, loss of connectivity or the mail box being full or otherwise becoming incapable of receiving the contract note email Or due to any technical reasons beyond your control. I/we shall completely rely on the log reports of your dispatching software as a conclusive proof of dispatch of email to me/us and will not disputes the same. In the event of my / our changing the email address, I/we will inform the same in writing by either registered post or through a digitally signed email.
8. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal, unless otherwise requested by me in writing.
9. Pledge/deposit the my/our securities and/or funds whether deposited as collateral/Margin or permitted by us to be retained in running account etc. by you with any bank or any other institution including the Exchange/Clearing Corporation/Clearing House for the purposes of raising funds, bank guarantees and FDRs etc. towards Margin/Collateral as also to meet shortfall in my/our funds/securities pay in obligation/auctions or assignment of contracts or any other liability arising out of anyour dealings with you/through you. You are further, authorised to sell/liquidate these securities/FDRs at the time and manner of your choosing and as and when deemed fit by you in your absolute discretion to meet any shortfalls in our accounts or any other liability of mine/ours without any reference to me/us.
10. Debit the additional changes payable by me/us as per your rules & regulations as ammended from time to time.
11. I/we hereby authorise you to keep all the securities which I /we have given you in margin including the payout securities received by us for meeting margin/order obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and/or taking loan against the same or meeting margin/pay-in obligation on my/our behalf or for giving the same as margin to the any of the stock exchanges or otherwise.
12. I/we will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
13. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, Leaseline, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, payin payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the clients at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non availability or malfunctioning of your system or service for any reason whatsoever.
14. I/we confirm that I/we never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
15. I/we am/are agreeable for inter-settlement transfer of securities towards settlement.
16. All fines/penalties and charges levied upon you due to my acts/ deeds or transaction may be recovered by you from my account.
17. I have a trading as well as depository relationship with R K GLOBAL SHARE & SECURITIES LTD.. Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reason.

You are requested to follow the above-mentioned standing instructions until further written instruction.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

Thanking you,  
Yours faithfully,

Client Name :

Place :

Date :

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