


**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 NON INDIVIDUALS)

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

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### IN-PERSON VERIFICATION

Client Name .....

.....

Code .....

By sign .....

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

Date .....

Place .....

Name of the Service Centre .....

<b>INDEX OF DOCUMENTS</b>		
<b>S.NO.</b>	<b>NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE</b>	<b>PAGE NOS.</b>
<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 - 2</b>  <b>3 - 7</b>
<b>2.</b>	<b>Policies and Procedures</b> Document describing significant policies and procedures of the stock broker.	<b>8 - 11</b>
<b>3.</b>	<b>Most Important Terms &amp; Conditions</b> As required under various Circulars of SEBI and Exchange(s)	<b>12</b>
<b>4.</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 4.		
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>		
<b>5.</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>6.</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>7.</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>8.</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>
<b>9.</b>	<b>Electronic Contract Note [ECN] – Declaration</b> Mandate to receive Contract Notes via E.mail	<b>18</b>
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<b>12.</b>	<b>Declaration by client in relation to PMLA, 2002</b> The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.	<b>20</b>
<b>FORMAT</b>		
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<b>17.</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>28 - 30</b>



**Important Instructions:**

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

**For office use only** Application Type\*  New  Update  
 (To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

**1. ENTITY DETAILS\*** (Please refer instruction A at the end)

Name\*

Entity Constitution Type\*  Others (Specify)  (Please refer instruction B at the end)

Date of Incorporation / Formation\*  DD -  MM -  YY  YY Date of Commencement of Business  DD -  MM -  YY  YY

Place of Incorporation / Formation\*  Country of Incorporation / Formation\*  TIN or Equivalent Issuing Country

PAN \*   Form 60 furnished

TIN / GST Registration Number

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

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation   Registration Certificate  Regn Certificate No.

Memorandum and Articles of Association  Partnership Deed  Trust Deed

Resolution of Board / Managing Committee  Power of attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only)  Activity Proof - 2 (For Sole Proprietorship Only)

**3. ADDRESS\*** (Please see instruction C at the end)

**3.1 Registered Office Address / Place of Business\***

Proof of Address\*  Certificate of Incorporation / Formation  Registration Certificate  Other Document

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**3.2 Local Address in India (If different from Above)\***

Line 1\*

Line 2

Line 3  City / Town / Village\*

District\*  PIN / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

**4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided\* may be used) (Please refer instruction D at the end)

Tel. (Off)  -  FAX  -

Mobile  -  Email ID

Mobile  -  Email ID

**5. NUMBER OF RELATED PERSONS**  (Please refer instruction E at the end)

6. REMARKS (If any)


**7. APPLICANT DECLARATION**

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

1 [Signature / Thumb Impression]

Date : --

Place:

Signature / Thumb Impression of Authorised Person(s)

**8. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received  Certified Copies  Equivalent e-document

**IPV and KYC VERIFICATION CARRIED OUT BY**

Identity Verification  Done Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

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

Code **IN0523**

[Institution Stamp]

**CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individuals KYC Application Form**

**A Clarification / Guidelines for filing Entity Details section**

1 Entity Constitution Type

- |  |   |   |
|--|---|---|
| A - Sole Proprietorship                                      | H - Trust   | O - Artificial Jurisdictional Person  |
| B - Partnership Firm   | I - Liquidator                                    | P - International Organisation or Agency /Foreign Embassy or Consular Office etc. |
| C - HUF  | J - Limited Liability Partnership                 | Q - Not Categorized   |
| D - Private Limited Company                                  | K - Artificial Liability Partnership              | R - Others  |
| E - Public Limited Company                                   | L - Public Sector Banks                           | S - Foreign Portfolio Investors   |
| F - Society  | M - Central/State Government Department or Agency |   |
| G - Association of Persons (AOP) / Body of Individuals (BOI) | N - Section 8 Companies (Companies Act, 2013)     |   |

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available.

**B Clarification / Guidelines for filling 'Proof of Identity[PoI]' section**

- Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
- '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.
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

**C Clarification / Guidelines for filling 'Proof of Address [PoA]' section**

- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

**D Clarification / Guidelines for filling 'Contact Details' section**

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

**E Clarification / Guidelines for filling 'Related Person Details' section**

- Personal Details**
  - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]**
  - PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
  - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
  - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
  - 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.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- 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.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

**MANDATORY**

**TRADING ACCOUNT RELATED DETAILS - FOR NON-INDIVIDUALS**

<b>BANK ACCOUNT(S) DETAILS</b>		
	<b>First Bank Details</b>	<b>Second Bank Details</b>
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		
<b>DEPOSITORY ACCOUNT(S) DETAILS</b>		
	<b>First Demat A/c Details</b>	<b>Second Demat A/c Details</b>
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. Please strike off the segment not chosen by you.		
Exchange	Segment	Signature
1. NSE & BSE	- All Segments	✓(2a)
	- Cash / Mutual Fund	✓(2b)
	- F&O	✓(2c)
	- Currency	✓(2d)
3. Multi Commodity Exchange of India Ltd. - Commodity		✓(2e)
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____		

<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>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 / Commodity 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 AUTHORISED PERSON OR OTHER STOCK BROKERS</b>			
Whether dealing with any other stock broker / AP (in case dealing with multiple stock brokers / APs, provide details of all)			
Name of stock broker			
Name of AP, if any		AP Regn. No.	
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			

<b>INTRODUCER DETAILS (optional)</b>	
Name of the Introducer	
	(Surname)                      (Name)                      (Middle Name)
Status of the Introducer	<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	

### 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 : \_\_\_\_\_

✓ (3)

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

## ANNEXURE

### DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

Particulars	1st	2nd	3rd
Designation			
Name			
PAN			
DIN / UID			
Residential Address			
Photograph	Please affix your recent passport size photograph and sign across it  ✓(4a)	Please affix your recent passport size photograph and sign across it  ✓(4b)	Please affix your recent passport size photograph and sign across it  ✓(4c)

Use additional sheets, if necessary.



## 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.*

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals :
  - 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.
  - 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.
- For non-individuals :
  - Form need to be initialized by all the authorized signatories.
  - 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.

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.

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+1 day, the shares will be deemed to be closed on T+1 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+1) plus 20%.

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.

#### **J) Inactive accounts :**

The account of a client who do not trade and remain inactive for 12 (twelve) months shall be declared “inactive account” and will be temporarily suspended.

The Member reserves the right to ask for any documents in support of current address, bank account, demat account, financial status, etc before reactivating such inactive accounts.

**K) Policies & Procedures :**

“As per the SEBI circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20.06.2019 on Handling of Client’s Securities, RKG shall transfer the securities purchased by the client to client’s demat account within 1 working day of the pay out if clear payment is received from the client and if the client fails to make the payment in full then RKG shall transfer the securities to the “client unpaid securities account (CUSA)”. The securities kept in the CUSA shall either be transferred to the demat account of the client upon fulfillment of its funds pay- in obligation or in case of the payment is not received by the client it shall be disposed off in the market by RKG within 5 trading days after the date of pay out without any notice to the client to the extent of debit balance of the client and/ or as per RKG. Risk Management policy and balance securities shall be transferred to the respective client’s demat account.”

**L) Running Account Authorization**

“Please note that, running account authorisation for funds and securities earlier provided by you to us at the time of account opening is now restricted to funds only and not for securities as per the recent SEBI’s circular - CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20.06.2019. So, w.e.f. 01.10.2019 as per the said circular, the revised running account authorisation clause will be read as follows: “Funds shall not be paid immediately until/unless specifically demanded by client and member is free to use the same for the future settlement/margin obligations etc of the client”.

**M) Voluntary Clauses**

I/We are aware and agree that as per the SEBI circular no. CIR/HO/MIRSD/DOP/CIR/P/2019/75 dated 20.06.2019 that RKG shall transfer the securities bought by me/us received in pay-out, to my/our demat account within 1 working day if clear payment is received from the client and if I/We fail to make the payment in full then RKG shall transfer the securities to the “client unpaid securities account (CUSA)”. I/We further agree and confirm that, the securities kept in the CUSA shall either be transferred to my/our demat account upon fulfilment of my/our funds pay-in obligation or it shall be disposed of in the market by RKG within 5 trading days after the date of pay out without any notice to the client to the extent of debit balance of the client and/or as per RKG. Risk Management policy and balance securities shall be transferred to the respective client’s demat account. Any profit/loss occurred on such sale transactions of unpaid securities, will be borne by me/us and transferred to/ adjusted in my/our ledger. If any such stock will remain in CUSA due to my/our default, RKG may charge a fine/penalty as levied by the exchange/depositories to me and I/We shall not object the same.

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.

## **Most Important Terms and Conditions (MITC)**

As required by SEBI Circular No. SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2023/180 dt.13.11.2023  
(For non-custodial settled trading accounts)

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

✓(5)

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

## TARIFF SHEET

### A. BROKERAGE

	%	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			
<b>4. Commodity Derivatives Segment</b>			
Brokerage in Futures			
Brokerage in Options			

(Other charges like STT, CTT, Service Tax, Stamp Charges, Transaction Charges if any shall be levied as per the rate stipulated by the concerned Authority)

✓(6)

\_\_\_\_\_  
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 on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts 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 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. 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.
5. I/we also confirm that the securities lying in my CUSA A/c should be considered as margin deposit / collateral.
6. 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.
7. I / we hereby authorize you to deposit my / our funds deposited as margin to exchange / Clearing Corporation.
8. I/we may revoke the authorisation at any time by giving a written notice.
9. I/we also agree that the actual settlement of fund shall be done by us, at least once in a quarter or month, as preference given below and the statement of account for the same will be provided to me by **R. K. Global Shares & Securities Ltd.**
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 agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
12. 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.

<b>PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS &amp; SECURITIES)</b>		
Settlement Preferences	<input checked="" type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly

Thanking you,

Yours truly,

✓⑦  
\_\_\_\_\_  
Signature of the Client



## 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)	✓(8a) _____ Signature of Client
(b) _____ (Alternate - optional)	✓(8b) _____ 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,

✓(9)

\_\_\_\_\_  
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, BSE and MCX, 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,

✓(10)

\_\_\_\_\_  
Signature

## 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	✓(11)
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	✓(12)

\* 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.**

✓(13)

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

**VOLUNTARY**

**Appendix A - Electronic Contract Note [ECN] - DECLARATION (VOLUNTARY)**

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

Dear Sir,

I, \_\_\_\_\_, a client with **R K Global Shares & Securities Ltd.**, Member of **Multi Commodity Exchange of India Ltd.** undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is\* \_\_\_\_\_ . This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

***The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. \*(The email id must be written in own handwriting of the client.)***

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

Unique Client Code : \_\_\_\_\_ PAN : \_\_\_\_\_

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

Signature of the client :  \_\_\_\_\_

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

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

**Verification of the client signature done by :**

Name of the designated officer of **R K Global Shares & Securities Ltd.** \_\_\_\_\_

**For R K Global Shares & Securities Ltd.**

**Authorised Signatory Signature**

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

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

Dear Sir,

Subject : My/Our request for trading in commodity forward contracts/  
commodity derivatives on MCX as your client

I/We, the undersigned, have taken cognizance of MCX circular no. MCX/338/2006 dated August 21, 2006 on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circulars of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

Thanking You,

Yours faithfully,

✓(15)

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

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

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

Dear Sir,

Sub : Registration for Commodity Options

I/We, \_\_\_\_\_ Client Code \_\_\_\_\_ intend to trade in Commodity options subject to regulatory requirement of the exchange and SEBI from time to time.

I/We further confirm having read and understood the contents of additional Risk Disclosure Documents. I/We have also been informed that the standard set of documents has been displayed for information on Member's designated website, if any.

We confirm that you have agreed to enter orders in commodity options for me/us as your client on MCX only on the basis of our above undertaking.

Thanking You,

Yours faithfully,

✓(16)

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

**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.**

✓(17)

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 : \_\_\_\_\_

**FORMAT OF BOARD RESOLUTION TO BE FURNISHED ON LETTER HEAD OF THE COMPANY**

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/S. \_\_\_\_\_ AT THEIR REGISTERED OFFICE \_\_\_\_\_

\_\_\_\_\_ HELD ON \_\_\_\_\_, 202\_\_ AT \_\_\_\_\_.

“RESOLVED THAT the company \_\_\_\_\_ shall open one Trading and a Depository Account (in its own name) with M/s R. K. Global Shares & Securities Ltd., registered under the Companies Act, 1956 and a Member of the National Stock Exchange of India Ltd. (NSE), National Securities Depository Limited (NSDL), BSE Ltd. (BSE) and MCX Stock Exchange Ltd. (MCX-SX), having its registered office at 61, 6th Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021, for the purpose of dealing in the Capital Market Segment, Demat Account Segment, F&O Segment or any other segment that may be introduced by NSE/NSDL/BSE/MCX-SX.

“FURTHER RESOLVED THAT Mr. \_\_\_\_\_ (Director/Directors) of the Company whose specimen signatures are attested below be and is / are hereby authorized on behalf of the Company to complete Client Registration Form and all other documents as may be deemed expedient to open and maintain, operate Trading and Demat Account with R. K. Global Shares & Securities Ltd., and give effect to this resolution, Mr. \_\_\_\_\_ (Director) is authorized to sell, purchase, transfer, endorse and/or otherwise deal through R. K. Global Shares & Securities Ltd.

“FURTHER RESOLVED THAT Mr. \_\_\_\_\_ (Director/Directors) of the Company be and is / are hereby authorized to operate the above account on behalf of the Company on Singly Basis / Any one Basis.

FURTHER RESOLVED that Mr. \_\_\_\_\_ (Director/Directors) is/are also authorized to give Power of Attorney to operate the said DEMAT Account to any person / company as may be deemed fit for smooth operation of the Account.

“FURTHER RESOLVED THAT Mr. \_\_\_\_\_ (Director) of the Company be and is hereby authorized to furnish a copy of the aforesaid Resolution to M/s R. K. Global Shares & Securities Ltd. and to do all such acts, deeds and things as may be necessary to give effect to this Resolution.”

“FURTHER RESOLVED THAT this Resolution be communicated to the R. K. GLOBAL Shares & Securities Ltd. and remains in force until any notice in writing is given to M/s R. K. Global Shares & Securities Ltd.

“Further Resolved that the Company will invest in securities market.”

Chairman/Director

## CLIENT COMMODITYWISE CATEGORISATION (MANDATORY - ONLY FOR COMMODITY CLIENTS)

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

I/We do hereby declare that my/our Commoditywise categorisation as a participant is as follows :

SR. NO.	SYMBOL DESCRIPTION	* FARMER FPOS	* VALUE CHAIN PARTICIPANTS (VCPs)	* DOMESTIC FINANCIAL INSTITUTIONAL INVESTORS	* FOREIGN PARTICIPANTS	* OTHERS
1.	ALUMINIUM					
2.	BARLEY					
3.	BRASS					
4.	CARDAMOM					
5.	CASTOR SEED					
6.	CHANA					
7.	COPPER					
8.	COPRA					
9.	CORIANDER					
10.	COTTON					
11.	COTTONSEED OIL CAKE					
12.	CRUDE OIL					
13.	CRUDE PALM OIL					
14.	DIAMOND					
15.	GOLD					
16.	GUARGUM					
17.	GUARSEED					
18.	ISABGUL					
19.	JEERA					
20.	JUTE					
21.	KAPAS					
22.	LEAD					
23.	MAIZE KHARIF					
24.	MAIZE RABI					
25.	MENTHA OIL					
26.	MOONG					
27.	NATURAL GAS					
28.	NICKEL					
29.	PADDY BASMATI					
30.	PEPPER					
31.	RAPEMUSTARD SEEDS					
32.	RBDPMOLEIN					
33.	RUBBER					
34.	SACK					
35.	SILVER					
36.	SOYABEAN					
37.	SOYA OIL					
38.	STEEL					
39.	SUGAR					
40.	TURMERIC					
41.	WHEAT					

I also give my consent to upload the information to the respective commodity exchanges.

\* **1) Farmers/FPOs** : It includes participants such as farmers, farmers' co-operatives, Farmers Producers Organisations (FPOs).  
**2) Value Chain Participants (VCPs)** : It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **3) Domestic Financial Institutional Investors**: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives. **4) Foreign Participants** : It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **5) Others** : All other participants which cannot be classified in the above categories.

✓(18)

Client Signature



## **DECLARATION OF ULTIMATE BENEFICIAL OWNERSHIP**

(Mandatory For Non-Individuals)

Investor Name \_\_\_\_\_ PAN \_\_\_\_\_

### **Part I - LISTED COMPANY / ITS SUBSIDIARY COMPANY [If applicable, Part II Not Applicable]**

We hereby declare that the Applicant/ Owner of the controlling interest in the applicant

- is a Company listed on a Stock Exchange
- is a majority-owned subsidiary of a Company listed on a Stock Exchange

Name of the holding/ parent company (with % share) \_\_\_\_\_

Name of such Listed Company (if not the Applicant itself) \_\_\_\_\_

Stock Exchange where listed \_\_\_\_\_ Security ISIN \_\_\_\_\_

### **Part II - OTHER THAN LISTED COMPANY / ITS SUBSIDIARY COMPANY**

Name & Address of the Ultimate Beneficial Owner [UBO]	PAN or any other identification proof where PAN not applicable	Country of tax residency	% of beneficial interest in the Applicant	Whether Politically Exposed?	UBO Code (see instruction next page)
(1)					
(2)					
(3)					

If UBO is already KYC compliant, KYC complied proof to be enclosed. Else PAN or any other valid identity proof and address proof must be attached (self certified by the UBO and certified by the Applicant)

### **Part III - DECLARATION**

<p>We understand that R K Global Shares &amp; Securities Ltd. is relying on this information for the purpose of determining the beneficial ownership of the account. We certify that the information we provided on this form is true and complete to the best of our knowledge and belief. We agree to submit a new form within 30 days if any information or certification on this form gets changed.</p>	<p style="text-align: center;">✓(19)</p> <p style="text-align: center;">_____</p> <p style="text-align: center;">Authorised Signatory [with seal]</p> <p>Date : _____ Place : _____</p>
---	---

**In case the above information is not provided, it will be presumed that applicant is the ultimate beneficial owner, with no declaration to submit.**

## **GENERAL INFORMATION & INSTRUCTIONS**

As per SEBI Master Circular No. CIR/ISD/AML/3/2010 dated December 31, 2010 regarding Client Due Diligence policy, related circulars on anti-money laundering and SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

Ultimate Beneficiary Owner [UBO]:

### **A. For Investors other than individuals or trusts:**

- (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- (ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- (iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### **B. For Investors which is a trust:**

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### **C. Exemption in case of listed companies/foreign investors**

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/ MIRSD/ 11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

### **UBO Code Description**

- UBO-1 : Controlling ownership interest of more than 25% of shares or capital or profits of the Applicant, where the Applicant is a company
- UBO-2 : Controlling ownership interest of more than 15% of the capital or profits of the Applicant, where the Applicant is a partnership
- UBO-3 : Controlling ownership interest of more than 15% of the property or capital or profits of the Applicant, where the Applicant is an unincorporated association or body of individuals
- UBO-4 : Natural person exercising control over the Applicant through other means i.e., exercised through voting rights, agreement, arrangements or in any other manner [In cases where there exists doubt under UBO-1 to UBO-3 above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests]
- UBO-5 : Natural person who holds the position of senior managing official [In case no natural person could be identified as above]
- UBO-6 :The settler(s) of the trust
- UBO-7 :Trustee(s) of the Trust
- UBO-8 :The Protector(s) of the Trust [if applicable].
- UBO-9 :The beneficiaries with 15% or more interest in the trust if they are natural person(s)
- UBO-10 : Natural person(s) exercising ultimate effective control over the Trust through a chain of control or ownership.

## FATCA/CRS DECLARATION FORM - FOR NON-INDIVIDUAL

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

### **PART I**

A. Is the account holder a Government body/International Organization/listed company on recognized stock exchange:

Yes  No

*If "No", then proceed to point B. If "yes" please specify name of stock exchange, if you are listed company \_\_\_\_\_ and proceed to sign the declaration.*

B. Is the account holder a (Entity/Financial Institution) tax resident of any country other than India :  Yes  No

*If "yes", then please fill of FATCA/ CRS Self certification Form. If "No", proceed to point C.*

C. Is the account holder an Indian Financial Institution :  Yes  No

*If "yes", please provide your GIIN, if any \_\_\_\_\_. If "No", proceed to point D.*

D. Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen :  Yes  No

*If "yes", (then please fill FATCA/ CRS self-certification form)). If "No", proceed to sign the declaration.*

### **CUSTOMER DECLARATION**

( ) 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 to 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.

(i) 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 FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(ii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iii) 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.

(iv) 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.

Name of the Entity \_\_\_\_\_

Signature 1 ✓ 20a \_\_\_\_\_ Signature 2 ✓ 20b \_\_\_\_\_

Signature 3 ✓ 20c \_\_\_\_\_ ( As per MOP)

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

**PART II**

**Self-Certification Form (Entity) for Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards(CRS)**

**Section 1 : Entity information**

Name of Entity \_\_\_\_\_

Customer id (if existing) \_\_\_\_\_ Entity Constitution Type \_\_\_\_\_

Entity Identification type :  Tax Identification Number (TIN)  US GIIN  Company Identification Number  
 Global Entity Identification Number (EIN)  Other

Entity Identification No. \_\_\_\_\_

Entity Identification issuing country \_\_\_\_\_ Country of Residence for tax purpose \_\_\_\_\_

**Section 2 : Classification of Non-Financial entities**

I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person) :  Yes  No

*If “Yes”, please provide your U.S. Taxpayer Identification Number (TIN)* \_\_\_\_\_

b) An entity incorporated and taxable outside of India (other than US) :  Yes  No

*If “Yes”, please provide your TIN or its functional equivalent* \_\_\_\_\_

*Provide your TIN issuing country* \_\_\_\_\_

c) *Please provide the following additional details if you are not a Specified US Person :*

**FATCA / CRS classification for Non-financial entities (NFFE)**

Active NFFE  Passive NFFE without any controlling Person

Passive NFFE with Controlling Person(s) : US  Others

Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus R K Global Shares & Securities Ltd. is not required to do the reporting)

Please provide GIIN number : \_\_\_\_\_

**Section 3 : Classification of financial institutions (including Banks)**

I/We (on behalf of the entity) certify that the entity is :

a. An entity is a U.S. financial institution :  Yes  No

*If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)*

*(ii) Please provide GIIN, if any* \_\_\_\_\_

*If “No”, please tick one of the following boxes below :*

**FATCA classification**

**Please provide the Global Intermediary Identification number (GIIN) or other information where**

Reporting Foreign Financial Institution in a Model 1 Inter-Governmental Agreement (“IGA”) Jurisdiction \_\_\_\_\_

Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction \_\_\_\_\_

Participating FFI in a Non-IGA Jurisdiction \_\_\_\_\_

Non-reporting FI \_\_\_\_\_

Non-Participating FI \_\_\_\_\_

Owner-Documented FI with specified US owners \_\_\_\_\_

**Section 4 : Controlling person declaration**

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing country	Controlling person type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification Type					
Identification Number					
Occupation Type					
Occupation					
Birth Date					
Nationality					
Country of Birth					

**Section 5 : Declaration**

- (i) Under penalty of perjury, I/we certify that :
  1. The number shown on this form is the correct taxpayer identification number of the applicant, and
  2. 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, or
  3. The applicant is an applicant taxable as a tax resident under the laws of country outside 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 CRS/FATCA. 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 gets changed.
- (iv) I/ We agree as may be required by Regulatory authorities, R K Global Shares & Securities Ltd. shall be required to comply to report, reportable details to CDBT 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 tax payer identification number of the applicant.

**I/We hereby confirm that details provided are accurate, correct and complete**

✓(21)

\_\_\_\_\_  
Authorized Signatories and Company Seal (if applicable)

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

## **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?

- a) All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- b) 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.
- c) Counterfeit currency transactions.
- d) 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-

- (a) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
- (b) appears to be made in circumstances of unusual or unjustified complexity; or
- (c) appears to have no economic rationale or bonafide purpose; or
- (d) 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 NON-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

<b>CLIENT ID</b>										<b>Date</b>																	
										D	D	M	M	Y	Y	Y	Y										
(To be filled by Participant)																											
<b>We request you to open a Depository Account in our name as per the following details :</b>																											
<b>(Please fill all the details in CAPITAL LETTERS only)</b>																											
<b>A) DETAILS OF ACCOUNT HOLDER(S) :</b>																											
		<b>Name</b>								<b>PAN</b>																	
<b>Sole/ First Holder</b>																											
<b>Second Holder</b>																											
<b>Third Holder</b>																											
<b>B) Type of account</b>		<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> HUF <input type="checkbox"/> Others (Please specify) _____																									
<b>C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name &amp; PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below :</b>																											
<b>Name</b>										<b>PAN</b>																	
<b>D) Income Details (please specify) - Income Range per annum</b>																											
<input type="checkbox"/> Below ₹ 20 Lac <input type="checkbox"/> ₹ 20 - 50 Lac <input type="checkbox"/> ₹ 50 Lac - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore, and																											
<b>Networth Amount ₹</b>										<b>as on (Date)</b>																	
<b>E) In case of FIIs/Others (as may be applicable)</b>																											
<b>RBI Approval Reference No.</b>										<b>RBI Approval date</b>																	
<b>SEBI Registration Number (for FIIs)</b>																											
<b>F) BANK DETAILS :</b>																											
<b>Bank A/c Type</b>		<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____																									
<b>Bank A/c No.</b>																											
<b>Bank Name</b>																											
<b>Branch Address</b>																											
<b>City/town/village</b>										<b>Pin Code</b>																	
<b>State</b>										<b>Country</b>																	
<b>MICR Code</b>										<b>IFSC</b>																	

G) Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)			
<b>H) Clearing Member Details</b> (to be filled up by Clearing Members only)					
Name of Stock Exchange					
Name of Clearing Corporation/ Clearing House					
Clearing Member ID					
SEBI Registration Number					
Trade Name					
CM-BP-ID (to be filled up by Participant)					
<b>I) STANDING INSTRUCTIONS :</b>					
1. We authorise you to receive credits automatically into our account		<input type="checkbox"/> Yes <input type="checkbox"/> No			
2. Account to be operated through Demat Debit and Pledge Instruction (DDPI)		<input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>3. SMS Alert facility :</b>					
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 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			
5. Mode of receiving Statement of Account (Tick any one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form			
<i>(Read Note 3 and ensure that email ID is provided in KYC Application Form)</i>					
6. 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			
7. We would like to share the e-mail Id with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No			
8. Option to receive Annual Reports, AGM, Notices & Other Communications from Issuer & RTA is physical form		<input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>J) LIST OF FAMILY MEMBERS (SEPARATE ANNEXURE MAY BE USED IN CASE NUMBER OF MEMBER IS HIGHER)</b>					
Sl. No.	Name of Coparcener / Member	Gender	Date of Birth	Relation with Karta	*Whether Coparcener/ Member (Please specify)
<b>* Son, daughter, grandson &amp; grand-daughter will be Co-parceners. Spouse, daughter-in-law will be Members.</b>					
K) <input type="checkbox"/> I/We wish to make one time Self-declaration for Inter-Depository transfer of Government Securities. [As per details given below]					
<input type="checkbox"/> I/We do not wish to make one time Self-declaration for Inter-Depository transfer of Government Securities.					
<b>Declaration Details</b>	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.				

## DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, we are aware that we may be held liable for it. **We acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".**

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

Sole/First Holder	Name	Signature(s)
First Signatory / Karta of HUF		✓(22)
Second Signatory		✓
Third Signatory		✓
<b><u>Other Holders</u></b>		
Second Holder		✓
Third Holder		✓
<b>Mode of Operation for Sole/First Holder</b> (In case of joint holdings, all the holders must sign. In case of HUF, this is not applicable.)		
<input type="checkbox"/> Any one singly		
<input type="checkbox"/> Jointly by		
<input type="checkbox"/> As per resolution		
<input type="checkbox"/> Others (please specify)		

**NOTES :**

1. In case of additional signatures, separate annexures should be attached to the application form.
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.
5. Please attach a cheque of Rs. 1000/- only drawn in favour of "R K Global Shares & Securities Ltd." towards advance maintenance charges.

**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,

✓(23)

\_\_\_\_\_  
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 : ✓(24) \_\_\_\_\_ ✓ \_\_\_\_\_ ✓ \_\_\_\_\_  
First Holder Second Holder Third Holder

**Non Individual Clients**

**CHARGE SCHEDULE**

<b>Content</b>		<b>DP Id - IN302951/IN302453</b>
<b>ACCOUNT OPENING CHARGES</b>		
a.	Account Opening Charges	NIL
<b>ACCOUNT MAINTAINANCE CHARGES</b>		
b.	Account Maintaiance Charges (charged from 2nd year)	NIL
<b>TRANSACTION CHARGES</b>		
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	Rs. 2/- per Certificate, Minimum charges Rs.40/-
d.	Rematerialisation	Minium Rs.40/, or Rs20/-For Every Hundred Securities(whichever is higher)
e.	Margin Pledge initiation	Rs 12 per ISIN
f.	Margin Pledge release	Rs 12 per ISIN
g.	Pledge Charges	Rs 25 per ISIN
<b>DELIVERY INSTRUCTION</b>		
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
<b>PERIODIC/NON PERIODIC STATEMENT</b>		
a.	Statement Processing Charges	Rs.20/-
e.	Postal Charges per Demat/Remat/Demat Rejection	Rs 50/- per courier

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

**NOTE :**

For Corporate Account Rs.500/-P.A. will be levied vide NSDL Circular No NSDL/POLICY/2013/0108

Dated September 18,2013 at the beginning of every financial year.

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. 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**

\_\_\_\_\_  
 1st Holder                                      2nd Holder                                      3rd Holder

## DEMAT DEBIT AND PLEDGE INSTRUCTION [DDPI]

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 & SECURITIES LIMITED**, a company incorporated under the Companies Act 1956 and having its Registered office address at 61, 6TH Floor, Mittal Chambers, 228 Nariman Point, Mumbai - 400 021 (herein after referred to as "Member") and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE), BSE Limited (BSE) and Multi Commodity Exchange of India Ltd. (MCX) (hereinafter referred to as "the Exchange") and is also a "Depository Participant" registered with National Securities Depository Limited (NSDL).

WHEREAS I am / We are investor(s) engaged in buying, selling and trading of securities in Cash Segment, dealing in F&O and Currency Derivatives Segment of NSE/BSE and/or dealing in Commodity Derivative Segment of MCX through broker, a Member of National Stock Exchange of India Limited (NSE) having Member ID 08250, BSE Limited (BSE) having Member ID 6218 and Multi-Commodity Exchange of India Ltd. (MCX) having Member ID 57010 bearing SEBI Regn. no. INZ000187132.

AND WHEREAS I / We hold a Beneficiary Account No. \_\_\_\_\_ (BO-ID) with Depository Participant R K GLOBAL SHARES AND SECURITIES LIMITED registered with National Securities Depository Limited (NSDL), having DP-ID : IN302951 / DP-ID : IN302453 and SEBI Regn. no. IN-DP-241-2016.

NOW KNOW I / WE ALL, do hereby, jointly and severally give my / our instruction to **R K GLOBAL SHARES AND SECURITIES LIMITED** Stock Broker and Depository Participant, to exercise and perform the following acts, deeds and things as mentioned below:

Sl. No.	Purpose	Signature of Client
1	Transfer of securities held in the abovementioned Beneficial Owner Account towards Stock Exchange related to deliveries / settlement obligations arising out of trades executed by me / us on the Stock Exchange through <b>R K GLOBAL SHARES AND SECURITIES LIMITED</b> .	✓ (26) 1st Holder
		✓ 2nd Holder
		✓ 3rd Holder
2	Pledging / re-pledging of securities in favour of Trading Member (TM) / Clearing Member (CM) / Clearing Corporation (CC) for the purpose of meeting margin requirements in connection with the trades executed by me / us on the Stock Exchange.	✓ (27) 1st Holder
		✓ 2nd Holder
		✓ 3rd Holder
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	✓ (28) 1st Holder
		✓ 2nd Holder
		✓ 3rd Holder

Sl. No.	Purpose	Signature of Client
4	Tendering shares in open offers through Stock Exchange platforms	✓ 29 1st Holder
		✓ 2nd Holder
		✓ 3rd Holder

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

Account Name	Depository	DP ID / CMBP ID	Client ID
NSE Pool	NSDL	IN302453	10000077
BSE Pool	NSDL	IN302453	10146921
TM CM Client Sec Margin Pledge	NSDL	IN302453	10264552
TM Client Sec Margin Pledge	NSDL	IN302453	10264544
NSCCL MF Account	NCL	IN565576	1100001100017837
BSE MF Account	INDIAN CL. CORP.	IN620031	1100001000020972
Future & Option Pool Account	NSDL	IN302453	10264624



## 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 / Demat Debit and Pledge Instruction 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. NO. : 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		✓(25)
Second Holder		✓
Third Holder		✓

### 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									
Sole/First Holder											
Second Holder											
Third Holder											

✓(26)

Signature of First/Sole Holder

✓

Signature of Second Joint Holder

✓

Signature of Third Joint Holder

**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

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**DP ID : IN302453 & IN302951 ❖ SEBI REGN. NO. : 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
---	---	---	---	---	---	---	---

Authorised Signatory

**Acknowledgement Receipt**

**Received Nomination Form from :**

<b>DP ID</b> IN302453 & IN302951	<b>Client ID</b>									
Name										
Address										
Nomination in favour of										
<u>No Nomination</u>	<input type="checkbox"/> <u>Does not wish to nominate</u>									
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 :**

<b>DP ID</b> IN302453 & IN302951	<b>Client ID</b>								
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

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,

✓(30)

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

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

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

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### **Statement of account**

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### **Manner of Closure of Demat account**

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no

charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

#### **Default in payment of charges**

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

#### **Liability of the Depository**

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

#### **Freezing/ Defreezing of accounts**

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

#### **Redressal of Investor grievance**

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

### **Authorized representative**

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

### **Law and Jurisdiction**

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

# 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 and MCX-Commodity Derivatives 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. Sushil Kumar Dhancholia**, 033-40141999, skd@rkglobal.in

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

**Mr. RAGHAV BHAGCHANDKA** , 011-43100999 , raghav@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, at **is@bseindia.com** and Phone No. (022) 2272-8097 for BSE and at **grievance@mcxindia.com** and Phone no. 91-022-67318888 for MCX.

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, BSE Notice No. 20031125-7 dated 25 November, 2003 and MCX Circular & guidelines :

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

No. 1478/1, 40th Cross, 18th Main, Opp. Saibaba Temple  
2nd Floor, 4th, T-Block, Jayanagar, Bengaluru - 560 041  
Ph. : (+91-80) 7960-5405, 93549-81320, 91500-50030 / 50040  
E.mail : bengaluruadmin@rkglobal.in

### Chennai

“Siddarth Towers”, 4th Floor, No. S-16, 15th Main Road  
Guindy Industrial Estate, Guindy, Chennai - 600 032  
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