



ACCOUNT OPENING FORM

FOR INDIVIDUAL

| | |
|------------------|--|
| Application Type | <input type="checkbox"/> New <input type="checkbox"/> Update |
| KYC Number | |

EQUITY TRADING

FOR OFFICE USE ONLY

| | | | |
|-------------|--|-------------|--------------|
| Form No. | | Branch Code | |
| Client Code | | AP Code | |
| DP ID | | Ver: 1.1 | January 2026 |

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IMPORTANT NOTE

1. Signature Types:



Signature of Client / First Holder



Authorised Signatory of Member

2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature

IMPORTANT INSTRUCTIONS

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

KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

| Acceptable Documents (Copies of all documents to be self attested) | | Please Tick |
|---|---|--|
| PAN Card | Account Holder | |
| Photograph | One Colored Front Face Photograph on photographic Paper (Passport Size) | |
| Proof of Identity (Any One) | 1. Unique identification number (UID)(Aadhaar) | <input type="checkbox"/> KRA document used (Email Id & Phone number to be provided on given KRA Form) |
| | 2. Valid Passport (Name, Address & Photo page) | |
| | 3. Voter ID (front and back) | |
| | 4. Valid Driving License (Name, Address & Photo page) | |
| | 5. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar. | |
| | 6. NREGA Job Card, National Population Register Letter | |
| | 7. Other 1 (Pls. Specify) _____ | |
| Proof of Address (Any One) Permanent / Correspondence | 1. Valid Passport (Name, Address & Photo page) | <input type="checkbox"/> KRA document used  KYC Checklist |
| | 2. Voter ID (front and back) | |
| | 3. Valid Driving License (Name, Address & Photo page) | |
| | 4. Unique identification number (UID)(Aadhaar) | |
| | 5. Electricity Bill / Gas Bill (not more than 2 months old) | |
| | 6. Resident Landline Tel. Bill (not more than 2 months old) | |
| | 7. Registered Lease/Leave & License Agreement | |
| | 8. NREGA Job Card, National Population Register Letter | |
| | 9. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar. | |
| Bank Proof With MICR / IFSC Code (1st Holder only) | 1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old) | |
| | 2. Banker's Certificate on letter head of the Bank (ORIGINAL) | |
| | 3. Cancelled Personalized Cheque leaf | |
| Demat Proof (Any One) (1st Holder only) | 1. Client Master (CML copy duly attested by DP) | |
| | 2. DP Statement / Transaction cum Holding Statement | |
| Proof of Income (Any One) (Mandatory for F&O / Currency / Segments)(1st Holder only) | 1. Copy of ITR Acknowledgement | |
| | 2. In case of salary income - Salary Slip, Copy of Form 16 | |
| | 3. Net-worth certificate (Not more than 1 year old) | |
| | 4. Copy of Demat Account Holding Statement | |
| | 5. Bank Account Statement for last 6 months reflecting income | |

A Clarification/Guidelines on filling 'Personal Details' section

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

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

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State/U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':
Document Code Description
 - 1 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
 - 2 Property or Municipal tax receipt.
 - 3 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
 - 4 Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.
- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 RES may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

C Clarification / Guidelines on filling 'Contact details' section

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

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

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

E Clarification on Minor

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

Differently Abled Status Yes No **1. Type of Disability Values:**

- | | | | | | | | |
|----------------------|--------------------------|-------------------------|--------------------------|--------------------------------|--------------------------|---------------------------------|--------------------------|
| Blindness | <input type="checkbox"/> | Cerebral Palsy | <input type="checkbox"/> | Acid Attract Victims | <input type="checkbox"/> | Multiple Sclerosis | <input type="checkbox"/> |
| Low Vision | <input type="checkbox"/> | Intellectual Disability | <input type="checkbox"/> | Sickle Cell Disease | <input type="checkbox"/> | Specific Learning Disabilities | <input type="checkbox"/> |
| Hearing Impairment | <input type="checkbox"/> | Mental Illness | <input type="checkbox"/> | Hemophilia | <input type="checkbox"/> | Chronic Neurological Conditions | <input type="checkbox"/> |
| Locomotor Disability | <input type="checkbox"/> | Muscular Dystrophy | <input type="checkbox"/> | Thalassemia | <input type="checkbox"/> | Autism Spectrum Disorder | <input type="checkbox"/> |
| Leprosy Cured | <input type="checkbox"/> | Parkinson's Disease | <input type="checkbox"/> | Speech and Language Disability | <input type="checkbox"/> | Dwarfism | <input type="checkbox"/> |

Percentage of Impairment %UDID Number


(First/Sole Holder Signature)

List of two- digit state / U.T codes as per Indian MotorVehicle Act, 1988

| State / U-T | Code | State / U-T | Code | State / U-T | Code |
|------------------------|------|------------------|------|---------------|------|
| Andaman & Nicobar | AN | Himachal Pradesh | HP | Pondicherry | PY |
| Andhra Pradesh | AP | Jammu & Kashmir | JK | Punjab | PB |
| Arunachal Pradesh | AR | Jharkhand | JH | Rajasthan | RJ |
| Assam | AS | Karnataka | KA | Sikkim | SK |
| Bihar | BR | Kerala | KL | Tamil Nadu | TN |
| Chandigarh | CH | Lakshadweep | LD | Telangana | TS |
| Chattisgarh | CG | Madhya Pradesh | MP | Tripura | TR |
| Dadra and Nagar Haveli | DN | Maharashtra | MH | Uttar Pradesh | UP |
| Daman & Diu | DD | Manipur | MN | Uttarakhand | UA |
| Delhi | DL | Meghalaya | ML | West Bengal | WB |
| Goa | GA | Mizoram | MZ | Other | XX |
| Gujarat | GJ | Nagaland | NL | | |
| Haryana | HR | Orissa | OR | | |

List of ISO3166 two - digit Country Code

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

Know Your Client (KYC)
Application Form (For Individuals Only)



Please fill the form in ENGLISH and in BLOCK letters

Fields marked * are mandatory

Fields marked* are pertaining to CKYC and mandatory only if processing CKYCalso

Application Number: _____

Application Type*: New KYC Modification KYC

KYC Mode*: Please Tick(✓)

Normal Offline EKYC

1. PERSONAL DETAILS (Please refer instruction A at the end)

Name* (Same as ID proof) _____ Prefix _____
(If any*) Maiden Name _____
Father / Spouse Name _____
Mother Name _____
Date of Birth* _____
PAN* _____
Gender* M- Male F- Female T-Transgender
Marital Status* Married Unmarried Others _____
Residential Status* Resident Individual Non Resident Indian
 Foreign National Person of Indian Origin
Nationality* Indian Others _____

PHOTO

Signature / Thumb Impression

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

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

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

I A- Passport Number _____
 B- Voter ID Card _____
 C- PAN Card _____
 D- Driving Licence _____ Driving Licence Expiry Date - -
 E- UID (Aadhaar) _____
 F- NREGA Job Card _____
 G- Others _____
 H- National Population Register Letter _____ Identification Number _____
 I- Proof of Possession of Aadhar _____

II E-KYC Authentication _____
III Offline verification of Aadhar _____

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

3. CURRENT ADDRESS DETAILS (Please refer instructions B at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

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

I A- Passport Number _____
 B- Voter ID Card _____
 C- PAN Card _____
 D- Driving Licence _____ Driving Licence Expiry Date - -
 E- UID (Aadhaar) _____
 F- NREGA Job Card _____
 G- Others _____
 H- National Population Register Letter _____ Identification Number _____
 I- Proof of Possession of Aadhar _____

II E-KYC Authentication _____
III Offline verification of Aadhar _____

Address

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

4. CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction B at the end)

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

I A- Passport Number _____
 B- Voter ID Card _____
 C- PAN Card _____
 D- Driving Licence _____ Driving Licence Expiry Date DD - MM - YYYY
 E- UID (Aadhaar) _____
 F- NREGA Job Card _____
 G- Others _____
 H- National Population Register Letter _____ Identification Number _____
 I- Proof of Possession of Aadhar _____
 II E-KYC Authentication _____
 III Offline verification of Aadhar _____

Address

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

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)(Please refer instruction C at the end)

Tel. (Off) _____ Tel. (Res) _____ Mobile _____
 FAX _____ Email ID _____

REMARKS (If any)

6. Applicant Declaration

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under - take 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.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

PLACE: _____ DATE: _____ (DD-MM-YYYY)

Applicant Wet Signature

7. For Office Use Only

Documents Received Data received from Offline verification

| In-Person Verification (IPV) carried out by* | Intermediary Details* |
|---|---|
| Date <u>DD</u> - <u>MM</u> - <u>YYYY</u> Emp. Name _____ Emp. Code _____ Emp. Designation _____ Emp. Branch _____ | <input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____ |
|  Employee Signature and Stamp |  Employee Signature and Stamp |

TRADING & DEMAT ACCOUNT RELATED DETAILS

TYPE OF ACCOUNT : Individual Sub Status Resident Other

A. BANK ACCOUNT DETAILS - Payin / Payout of funds will be routed through the said bank account only

Bank Name, Branch and Address:

Account No. Savings Current

MICR Code IFSC Code

B. DEPOSITORY ACCOUNT DETAILS (DPI DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)

| | DP 1 Details | DP 2 Details |
|------------------|---|---|
| Depository Name | <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL | <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL |
| DP Name | | |
| Beneficiary Name | | |
| DP ID | | |
| BO ID | | |

C. STANDING INSTRUCTIONS / AUTHORIZATION FROM THE CLIENT

| | |
|---|--|
| Contract Note/Holding & Transaction Statement including CAS/Other Documents* (For ECN in segment, please refer pg. no. 9) | <input type="checkbox"/> Electronic <input type="checkbox"/> Physical |
| Receive Delivery Instruction Slip | <input type="checkbox"/> No <input type="checkbox"/> Yes |
| Share Email ID with Registrar & Transfer Agent | <input type="checkbox"/> No <input type="checkbox"/> Yes |
| Receive Annual Report | <input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both |
| Declaration for Mobile Number | <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent |
| Declaration for Email ID | <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent <input type="checkbox"/> Do not have |
| Settlement Preference | <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Bill to Bill |
| Whether you wish to avail of the facility of internet trading / wireless technology (please specify) | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Note:

1. Divided / Interest will be credited to designated bank account via ECS.
2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date.
3. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi please visit website www.cdslindia.com
4. RJSBPL may carry out proprietary trades in addition to client trades.

D. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002

| | |
|--|---|
| Experience | Number of years of Investment / Trading Experience |
| Gross Annual Income | <input type="checkbox"/> Upto 5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <input type="checkbox"/> >1 Crore |
| | OR Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY |
| Occupation (Please tick) | <input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service |
| | <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist |
| | <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pls Specify) _____ |
| Nature of Business | <input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading |
| | <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____ |
| Client Category Commercial participant Noncommercial participant | <input type="checkbox"/> Value chain participant <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Hedger |
| | <input type="checkbox"/> Financial participant <input type="checkbox"/> Trader <input type="checkbox"/> Arbitrager <input type="checkbox"/> Other |
| Is the Client Politically Exposed Person (PEP) or Related to a PEP | |
| <input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP | |

Please sign in the relevant boxes where you wish to trade.

Please strike off the segment not chosen by you.

| | | | |
|--------------|--|---|---|
| Exchanges | NSE & BSE | | |
| All Segments | Cash | Mutual Fund | F & O |
| |  |  |  |

F. PAST ACTIONS

Details of any action / proceedings initiated / pending / taken by SEBI / Exchanges / 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:

No If yes, please specify

G. GST REGISTRATION DETAILS

| | | |
|-----------------|----------------|-------------------|
| Registration No | Validity Date | Name of the State |
| GSTIN No: | DD / MM / YYYY | |

H. DEALING THROUGH OTHER STOCK BROKERS

If Yes, please specify whether dealing with any other stock broker (if case dealing with multiple stock brokers, provide details of all)

| | |
|----------------------|--|
| Name of Stock Broker | |
| Name of Exchange | Client Code (as given by other broker) |

Details of disputes/dues pending from/to such stock broker:

I. INTRODUCER DETAILS

| | | | | |
|-----------------------------|-----------------------------|-----------------------------------|--|---|
| Status of Introducer | <input type="checkbox"/> AP | <input type="checkbox"/> Employee | <input type="checkbox"/> Existing Client | <input type="checkbox"/> Others (Specify): |
| Introducer Name: | AP/Emp/Client Code: | | | |
| Address: | | | | |
| Mobile No: | | | | |
| Signature of the Introducer | | | |  |

J. CLIENT DECLARATION

- 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.
- 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.



(First/Sole Holder Signature)

Trading Tariff for Individual

EQUITY BROKERAGE DETAILS

| Delivery(%) | Equity Intraday / Futures (Each Leg)(%) | Options (Per Lot in ₹) Each Leg | | |
|-------------|--|---------------------------------|-------|----------|
| | | Nifty | Stock | Currency |
| | | | | |

Minimum brokerage of paisa per share for Trading & paisa per share for Delivery will be charged.

Notes :

1. Brokerage is levied per executed order across all segments Brokerage is also charged on expired, exercised and assigned options contract. Brokerage levied to your trading account is subject to the maximum rates prescribed by the regulator (s) from time to time.
2. Stamp Duty, GST, Education Cess & Statutory Levies will be charged as applicable. The said levies are subject to statutory and regulatory changes, as notified by the Government/Regulators/Exchanges from time to time.
3. Above tariff is subject to change. Price Changes, if any, (other than statutory/regulatory price changes as stipulated in Point 2. above) will be notified 30 (thirty) days in advance.
4. Interest on Cash Collateral Margin Shortfall - 12.5% per annum chargeable every 15 days.

(First/Sole Holder Signature)

Policy on Handling of Good Till Cancelled Orders of Client.

The GTT feature allows you to place a limit order, at the limit price selected by you (the order price) and a trigger price (the trigger price), only when the trigger price is met, your GTT order will be sent to the Exchange for execution at the order price. In case the order is triggered on any day and the order price is not exactly met, all such orders will be automatically cancelled and removed from the GTT queue at RJSBPL at the end of trading session on the same day. All GTT orders triggered and sent to the Exchange, if not executed for any other reasons on the same day, will also be automatically cancelled. You will need to place the same GTT orders again.

- All GTT orders that do not meet the trigger price in 365 days shall be cancelled. 365 days shall be counted as consecutive calendar days from the date of placing the orders
- In case there is a change in exchange series or any corporate actions, such as; splits, bonuses, dividends, merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is a significant impact/change in the scrip price, the GTT will be cancelled at the sole discretion of RJSBPL, one day prior to the Ex-date of such corporate action effect taking place on the stock price
- We shall also provide an intimation to the clients about the upcoming corporate actions at least 5 days prior to the Ex-date of corporate action.

FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

| | | | | | | |
|--|---|--|---|--|---|--|
| Client Name | | | | | | |
| | First/Sole Holder | | Second Holder (if any) | | Third Holder (if any) | |
| Are you U.S. Person? (Refer KYC Handout - Customer Copy) | <input type="checkbox"/> Yes <input type="checkbox"/> No | | <input type="checkbox"/> Yes <input type="checkbox"/> No | | <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| Specify country of residence for tax purpose (Tax Residency) | <input type="checkbox"/> India <input type="checkbox"/> Other | | <input type="checkbox"/> India <input type="checkbox"/> Other | | <input type="checkbox"/> India <input type="checkbox"/> Other | |
| Specify country of citizenship | <input type="checkbox"/> India <input type="checkbox"/> Other | | <input type="checkbox"/> India <input type="checkbox"/> Other | | <input type="checkbox"/> India <input type="checkbox"/> Other | |

Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS.

(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

PLEASE TICK WHICHEVER IS APPLICABLE

A. CLIENT DECLARATION - OPEN INTEREST POSITION

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Exchanges from time to time on the guidelines for calculation of net open positions permitted in any and I/we hereby undertake to comply with the same.

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

I/We undertake to inform you and keep you informed if I / any of our partners / directors I karta I trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such

person is a partner / director I karta I trustee, takes or holds any position in any forward contract I derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

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

I/We further undertake to bear any liable/penalty/charges levied by Exchanges/SEBI.

B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY) MONTHLY QUARTERLY

Retention statement –Clause -- I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/Quarterly (as opted in the account opening form) or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time

or towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY)

I, _____, Client Code _____
PAN _____, Registered with you as a client of NSE, BSE, 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 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 _____(the email id must be written in own handwriting). 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 Indian language known to me.
- In the event of the Contract notes (ECN) not received by me/us in electronic mode due to the mail bouncing/failure of email servers, loss of connectivity etc. I/we agree to acknowledge the receipt of Contract Notes in physical mode, provided such Contract Notes are received by me/us within the time specified by regulatory authorities. In case you do not receive intimation of the mail bouncing, the same will be construed as my/our confirmation to the receipt of Contract Notes (ECN) in electronic mode and you will not be required to send the Contract Notes in physical mode. In this connection, I/we hereby confirm that I/we am/are agreeable to receive Contract Notes in digital mode on my/our under mentioned email id.

I/We understand that I/we am/are required to intimate any changes in the e mail id mentioned above needs to be communicated by me/us.

[The above declaration has 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]

Verification of the client signature done by,

Authorised Signatory of Member

Designation:

Date: DD/MM/YY

Client Signature

Date: DD/MM/YY

Place:

Most Important Terms and Conditions (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.

 _____

(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

VOLUNTARY TERMS AND CONDITIONS (EQUITY)

Whereas the client intends to open securities trading accounts with R J Stock Broking Pvt. Ltd., (hereinafter referred as RJSBPL) for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by RJSBPL and also the additional services that may be made available by RJSBPL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges with regard to Trading

Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that RJSBPL may levy additional charges / Counter Demat account for any service rendered by RJSBPL and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with RJSBPL.

2. Lien: All securities, funds and/or properties (Any assets available with RJSBPL) of the Client as may be permitted by the Exchange(s) from time to time to be placed with RJSBPL shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of RJSBPL. RJSBPL shall be entitled to withhold such securities, , funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, , funds or properties at its sole discretion & at any point of time, without notice to client.

3. Authorization for delivering / pledging shares: The client understands and agrees that RJSBPL may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of RJSBPL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.

4. Authorization for Inter segment fund balance transfer and stock transfers: The client hereby authorizes RJSBPL to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including segment to its ledger account in any other segment including segment or to transfer any stock purchased/lying in its account in any segment including segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of RJSBPL.

5. Disclaimer: The Client understands and agrees that neither RJSBPL nor any other party disseminating any market data, message or information through the Website of RJSBPL or in any other media shall be liable for: (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or (b) Any loss or damage arising from or occasioned by (i) Any such

inaccuracy, error, delay or omission, (ii) Nonperformance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by RJSBPL or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of RJSBPL or any disseminating party.

6. Manner/Mode of placing orders/instructions & Nonexecution/ delay/cancellation of Orders: The Client may communicate orders and other instructions to RJSBPL or the subbroker/ authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that RJSBPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of RJSBPL or the Exchange.
7. Client not to act on representations of agents, employees: Client is aware that RJSBPL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of RJSBPL.
8. Recording of Conversation: The client is aware and agrees that RJSBPL may tape record the conversation between the client/client's representative and RJSBPL, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. RJSBPL may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.
9. Confidentiality of Client Details: RJSBPL may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by RJSBPL to any person or entity including but not limited to any independent third parties or any entities of RJSBPL Group, whether within or outside India, or credit bureau of any information and data relating to Client or relating to Client's trading account with RJSBPL for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.
10. The client agrees that RJSBPL may appoint agents, credit bureau for carrying out the acts mentioned in or in relation to rendering its services and hereby consent to share his account related information, reports issued by such credit bureau to any such parties for various Regulatory and other purposes.
11. Disclosure as to Proprietary Trades by RJSBPL: RJSBPL may carry out proprietary trades in addition to trades on behalf of its Clients.

12. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
13. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
14. Notices: All notices or communications issued by RJSBPL shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
- 14.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) by SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of RJSBPL wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.
- 14.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between RJSBPL and the Client may be made orally.
15. Electronic Contract Note (ECN):
- 15.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing RJSBPL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.
- 15.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform RJSBPL either in writing or via E-mail within reasonable time of the receipt of the same. RJSBPL shall also publish the Contract Note on the Web site www.RJSBPLone.in or on any other designated location specified by RJSBPL from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, RJSBPL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise RJSBPL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
16. Electronic Transmission of other Documents: The Client who have opted for ECN agrees that RJSBPL may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices /communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, RJSBPL shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of RJSBPL within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.
17. Electronic Payment Gateway for Net Banking Services: RJSBPL may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with RJSBPL. Client understands that RJSBPL is only providing access to the electronic fund transfer facility provided by the banker of the Client through RJSBPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make RJSBPL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that RJSBPL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.
18. Internet / Wireless Technology based Trading facility:
- 18.1. RJSBPL offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/ sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to RJSBPL over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by RJSBPL by complying with the formalities prescribed therefore.
- 18.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as RJSBPL may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of RJSBPL.
- 18.3. The client understands and agrees that RJSBPL has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of

the client, RJSBPL shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4. Orders of Client subject to review by RJSBPL: The Client agrees that the RJSBPL may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order."

18. Extra Ordinary Events and termination/suspension of trading facility: RJSBPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond RJSBPL's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any RJSBPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

19. Amendments to the terms and conditions : RJSBPL reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying, or varying the provisions thereof by giving 15 days' notice to the Client (other than in respect of Stamp Duty, GST, Education Cess & Statutory Levies for which RJSBPL shall provide a 30 (thirty) days' prior notice or such other period permitted under applicable law as detailed in this form). In the event where the client has not objected to revised terms and conditions within 15 days of receiving such notification, the same shall be binding on the client. The terms and conditions and amendments made by RJSBPL from time to time is available on companies' website <https://rjbroking.com/>

20. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable

to be dismissed.

21. Setting up of Exposure Limits:

21.1. RJSBPL may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of found / securities / bank guarantees / fixed deposit receipts. RJSBPL at its sole direction may refused to accept ant securities as collateral / margin. RJSBPL shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, RJSBPL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of RJSBPL and such other purpose. RJSBPL reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.

21.2 Neither RJSBPL, nor any affiliate of Angle nor their respective directors, officers, employees, agent shall any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees & expenses) arising from any variation or reduction of exposure or turnover limits by RJSBPL.

22. Client to have a Mobile connection: Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with RJSBPL & undertakes to notify RJSBPL promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to RJSBPL.

23. Aggregation of open market positions of the Client by the exchange: Client agrees that if the Exchange directs / advise RJSBPL to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contact, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of RJSBPL in the contract, RJSBPL May square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though RJSBPL may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring of the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client.

24. Payment of Full Contract Value: Client agrees to pay RJSBPL for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with RJSBPL, one day prior to the commencement of the tender period for the respective contract, and If that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above,

RJSBPL at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

25. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and which such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by RJSBPL without prejudice to its other rights to impose penalty on the client and/or deregister the client. RJSBPL may also report such instances to the Exchange or the Regulator for appropriate action at their end.

26. Use of services of Authorised Person :

I/We hereby authorize RJSBPL One Limited to disclose details of my/our account as mentioned in the account opening form, supporting documents submitted therewith and/or any other information pertaining to my/our account including the trades/transactions carried out through my/our account to the Authorised Person or such agents by whatever name they are called by affiliated to RJSBPL One Limited.

For the purpose of the aforesaid Clause Authorised Person shall mean any Company/Person and/or its employees appointed by RJSBPL in this regard;

In case the Authorised Person registered with the Exchange, I/We hereby authorize RJSBPL to grant access and/or permit the Authorised Person all the rights as governed by the existing

regulatory provisions including any changes issued from time to time.

In case the Authorised person is Mutual Funds certified, hereinafter referred to as Independent Financial Provider for Mutual Fund ("IFPMF"), I/We hereby authorize RJSBPL to grant access and/or permit the IFPMF to view all trades and transactions carried out through my/our account and share details of such trades and transactions to enable the IFPMF to track my/our investments and provide necessary assistance accordingly.

27. The Client hereby agrees and provides RJSBPL and its group companies its unconditional and express consent to use, access, disclose to, store and share with any third parties the information (whether sensitive, personal, proprietary or otherwise) provided by the Client whether for processing, storage or any other purposes as deemed fit by RJSBPL and its group companies, including, for the purposes of providing services by RJSBPL Group. In the event, the Client wishes to revoke the consent to use/store/process the said information, in part or in full, it shall provide a prior written notice for such withdrawal of consent to contactus@rjbroking.com pursuant to which RJSBPL and / or its group companies, as the case maybe, shall stop using/processing/retaining such information within prescribed timelines as per applicable laws. Notwithstanding anything to the contrary contained here in above, RJSBPL and / or its group companies shall however retain the right to store such information or provide the information to any regulatory/statutory/judicial/government body/exchange as the case maybe, as per the applicable laws.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

DECLARATION FOR USING COMMON EMAIL ID & MOBILE NO. FOR TRADING & DEMAT A/C

To,
R J Stock Broking Pvt. Ltd.
917-C, 9th Floor, P. J. Tower,
Dalal Street, Fort,
Mumbai- 400001.

Date: _____

Client Code: _____

Client Name: _____

I hereby declare following details:

Mobile No: _____ the number belongs to _____

Self Spouse Dependent Children Dependent Parents Authorised Signatory (non-individual category)

Email Id _____ the email Id belongs to _____

Self Spouse Dependent Children Dependent Parents Authorised Signatory (non-individual category)

Signature of related person: _____

Note:

1. As per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011 investor will receive SMS & Email alerts on the given Mobile No. & Email Id.
2. As per the regulatory guidelines, use of common email id and mobile number is permissible for Family members which includes Self, Spouse, Dependent Parents and Dependent Children. For Non-individual client category the permissible relationship can be of Authorised signatory. Family Flag is required to be updated as 'Y' in all such Demat Accounts
3. Client may please note that Mobile No and/or email ID of Trading Member (TM) / Employees of TM / Authorised Person are not permitted to receive the SMS / Email Communication from Exchanges on behalf of client.
4. Valid Email Id & Mobile Number is mandatory for all New as well as Existing Clients. In case of repetitive bounce observation, member reserves right to suspend the account for want of valid KYC details.

 _____

(1st Authorized Signatory)

This document contains the policies and procedures of R. J. Stock Broking Pvt Ltd (RJSBPL):-

1. Orders at Unrealistic Prices / in Illiquid securities /
2. Applicable Brokerage limit
3. Setting up of exposure limits
4. Delayed payment charges
5. Squaring off of market positions, collaterals and other securities,
6. Refusal of Client requests for fresh positions
7. Suspension of Client's account and deregistering of the Client.
8. Policy regarding treatment of inactive accounts.

1. Orders at Unrealistic Prices / in Illiquid securities /

The client hereby confirms that it will not place or cause to be placed with RJSBPL, orders in securities / at prices substantially different from their prevailing market price. The Client agrees that any order placed by the client at a price substantially different from the prevailing market price is liable to be rejected at the sole discretion of RJSBPL. The client also agrees that RJSBPL may in its sole discretion, and without disclosing any reasons, restrict or prohibit trading in any / securities or reduce the open market interests of the client in such securities which are considered illiquid or unsuitable for trade, a list of which is available for view on RJSBPL's back office system through secured login. The client understands that the said list is not exhaustive, though on a best effort basis RJSBPL keeps the list updated, and RJSBPL would be within its rights to restrict or prohibit trades in any securities not included in the list.

2. Applicable Brokerage

- 2.1. RJSBPL shall levy brokerage for the Client's transactions as per the brokerage slabs mutually agreed with the Client in writing in the Client Registration Form and subsequent modification (if any) subject to the maximum rate prescribed by the Stock Exchanges / SEBI. The client shall pay such fees, charges and commissions as may be notified by RJSBPL from time to time depending upon the services availed by the client.
- 2.2. Subject to such maximum prescribed rates, RJSBPL may revise the rates from time to time after advance intimation to the Client of the revised rates and the date on and from which the revised rates shall take effect. However in case of any upward revision in brokerage, RJSBPL will give 15 days advanced intimation to the client. RJSBPL may intimate the revised rates in writing

addressed to the client and by publishing the rate on its back-office website. The client shall intimate its objection(s) if any to the revised brokerage in writing within 15 (fifteen) days of receipt of intimation of the change in brokerage. The Client shall be deemed to have agreed to the change in brokerage rates if he does not intimate any objection thereto within the time prescribed.

- 2.3 Brokerage shall be paid in the manner intimated by RJSBPL to the Client from time to time together with the GST and statutory levies and duties as may be applicable from time to time on the same.

- 2.4. Without prejudice to the absolute obligation of the Client to pay/reimburse monies to RJSBPL as set-out above, RJSBPL shall also be entitled to set-off and appropriate any monies that may be placed with or available with RJSBPL for and/or on behalf of the Client towards any dues of the Client to RJSBPL, arising howsoever.

3. Setting up of exposure limits

3.1. RJSBPL shall be entitled to sanction trading limits to the Client based on the upfront margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts and such other applicable margin as may be prescribed by regulator or exchanges from time to time to be collected from clients. Other applicable margins means mark to market margin, special margin, additional margin, tender margin, deliver margin or any other margins. RJSBPL at its sole discretion may refuse to accept any security as collateral/margin. RJSBPL shall from time to time publish a list of securities which would be acceptable as collateral/margin. In case of non payment or short payment of any margin, penalty at the rate prescribed by the Regulator / Exchange(s) from time to time shall be levied to the Client on the margin not/short paid by him/her/it. Client accepts and agrees that RJSBPL may, at its option, demand higher margins from the Client than the margins required by the Exchanges. In setting exposure limits for the Client, RJSBPL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of RJSBPL and such other factors or conditions which RJSBPL may consider relevant for the purpose. RJSBPL reserves liberty to vary the trading/exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions

bearing on the risk profile of the client.

3.2. Neither RJSBPL, nor any affiliate of RJSBPL nor their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction of exposure or turnover limits by RJSBPL.

4. delayed payment and consequences

4.1. Notwithstanding anything contained in these presents and without prejudice to margin trading guidelines issued by SEBI, any amounts which are overdue from the Client in any trading segments shall be liable to interest on Cash Collateral Margin Shortfall - 12.5% pa chargeable every 15 days or part thereof or such other rate as may be determined and communicated by RJSBPL.

RJSBPL is authorised to debit the interest on the outstanding amount in the account of the Client at the end of each month/such other interval as may be decided by RJSBPL.

4.2. Without prejudice to RJSBPL's other rights and to the extent permissible under Applicable Laws, RJSBPL shall be entitled to liquidate / close out all or any of the Client's positions for non payment of margin or other amounts, outstanding debts, etc, and adjust the proceeds of such liquidation/close out, if any, against the Client's liabilities / obligations. Any and all losses and financial charges on account of such liquidation/ closingout shall be charged to and borne by the client.

4.3. RJSBPL shall be entitled to suspend or terminate the member client relationship without prior notice if the Client fails to fulfil his/its payment obligations hereunder, under the Rights and Obligations / Terms and Conditions mentioned in this document or otherwise due to RJSBPL. However, that client discharging payment obligations shall not preclude RJSBPL from terminating the contract or refusing to place trade orders for the client if the client is found to have / be indulged / indulging in any activities which is in violations of the regulations or detrimental to the integrity of the market.

4.4. RJSBPL shall not be obliged to return any money, margin or otherwise to the Client until the Client has satisfactorily discharged all its payment obligations or other obligations as specified in Client Registration Document.

5. RJSBPL's right to square off:

Without prejudice to RJSBPL's other rights (including the right to refer a matter to arbitration), in the event of the client failing to maintain/supply immediately on demand applicable margin money required to sustain the outstanding market positions of the client, RJSBPL shall be entitled, at its option and liberty, to liquidate / close out all outstanding market positions or any part thereof

such that the outstanding market positions are either zeroed out or reduced to an extent where available margin covers the market positions remaining after such square off. For removal of doubt, it is clarified that RJSBPL may square off the entire outstanding market interests of the client and the client shall not, as a matter of right, be entitled to reduction of the outstanding positions in stages in order that positions to the extent of available margin are retained in the client's account. Any loss arising from such square off of positions shall be to the account of the client. RJSBPL may also sell all or any securities / collateral of the client lying with it and adjust the sale proceeds against the client's unpaid dues arising from any transactions, charges, levies, or fees in the client's account including squaring off of client's open market positions due shortage of margin. Any and all losses and financial charges on account of such sale shall be borne by the client. Such liquidation / sale may be without any prior reference or notice to the client. Client shall keep and hold RJSBPL indemnified and harmless from any loss arising out of such squaring off / sale. Such liquidation or close out of positions shall apply to any segment in which the Client does business with RJSBPL.

It is the client's responsibility to clear his/her/its payment obligations by T+2 day (T being Trading day) for trades done through RJSBPL One on the Exchange platform. In case Client fails to make full payment for the shares purchased by T+2 day, unpaid shares shall be transferred to the Client's Unpaid Securities Account (CUSA) on the immediately following trading day and if the Client fails to make full payment within the next 5 trading days counted from T+2 day, the same shall be liquidated by RJSBPL One. Only shares fully paid for by T+2 or within the next succeeding 5 trading days shall be credited to the demat account of the Client, so however, if the Client fails to make full payment by T+2 day, RJSBPL One shall be at liberty to liquidate the shares any time after T+2 day without being in any manner obliged to postpone liquidation until T+7 day.

6. Market and Internal Shortages:

The Client hereby agrees that if he/she/it has short-delivered any securities against his/her/its pay-in obligation towards a counter party who is a Client of RJSBPL and delivery of the securities was also not effected through auction in the market (self-auction) for any reason including that self-auction is not permitted on the Exchange, then the contract shall be closed out and the close out price will be higher of:

(a) The highest price for the securities prevailing in NSE or as the case may be BSE on any date commencing from the date of transaction till the day of auction relevant to the trade (auction day) or

(b) The closing price for the securities on the auction day as increased by 3% of the closing price for F & O traded scrip or 7% for other scrip or such other % as may be revised by RJSBPL from time to time. The amount so determined shall be debited to the account of the Client who defaulted to deliver.

7. Refusal of Client requests for trades/transactions:

7.1. RJSBPL is entitled in its sole discretion to restrict or refuse execution of any orders for transaction in any securities / if transaction is not in accordance with its internal due diligence policy and/or the directives and guidelines of the Exchanges and/or the Regulator issued from time to time and the client shall not call in question any decision of RJSBPL to restrict or refuse transactions on the ground that transactions are not in violation of RJSBPL's due diligence policy or the directives or guidelines of the Exchange and/or the Regulator or on the ground that the Client has not been put on notice about the securities on which trade restrictions have been imposed by RJSBPL. Impose trade restrictions having regard in particular to any one or more of the following factors viz. (i) Market volatility, or (ii) Price sensitive announcements relating to any security / or (iii) Restrictions on trade volume imposed by the Exchange concerned or (iv) Political instability in the country or (v) External aggression or internal rebellion or (vi) Default by the Client to maintain applicable collateral/margin or to make payment of dues or such other factors influencing the market.

7.2. Refuse to accept or act upon any request/order which in RJSBPL's sole opinion, amounts to manipulating trades or price manipulation or artificial trade(s) and/or fraudulent trade(s) or otherwise in breach of applicable laws and/or RJSBPL's internal policies, without obligation to give the Client its reasons for doing so;

7.3. Close out any transaction which may have been executed but which RJSBPL was entitled to refuse to execute being contrary to its internal due diligence policies or by reason of any other factors including but not limited to trades being manipulative in nature;

7.4. Disallow any trades or transactions in respect of certain securities or segments which may be below/above certain value/quantity as may be decided by RJSBPL from time to time;

7.5. RJSBPL may at its sole discretion decline to carry out the instructions for any reason whatsoever.

8. Suspension and deregistering of Client's Account / Suspension of services:

8.1. If the Client apprehends that security of his account has been breached, the Client shall by writing to RJSBPL or by immediately informing to the customer care dept of the RJSBPL, request suspension of transactions in the Client's account and RJSBPL may on receipt of such request suspend transactions in the account. The Client shall ensure pay in of funds and securities in respect of all transactions pending to be settled on or before the respective settlement date(s) and shall compulsorily square off all open derivative positions, failing which RJSBPL without further reference to the Client shall square off all open derivative positions prior to suspending the account. RJSBPL reserves the right to report to investigating agencies, the concerned exchange or the regulator, any breach of security or integrity of the account of the client or its misuse in a manner which may be a violation of the applicable rules and regulations and policy of the RJSBPL, whether on information received from the client or from any reliable source or on such breach coming to its notice on its own investigation. The account of the Client shall, if suspended, remain so suspended until such time as the Client's request in writing for reactivation of the account is not received by RJSBPL. Provided always that RJSBPL may, without prejudice to its other rights to effect recovery of its dues, sell all or any collateral and other securities of the Client lying with it in the Client's account towards full or part recovery of the dues owing by the Client without prior notice or consent of the Client.

8.2. RJSBPL may at any time, as it considers necessary in its sole discretion & without prior notice to the Client, prohibit, restrict or suspend the Client's access to or use of Services provided to the Client under this document, whether in part or entirely.

8.3. RJSBPL reserves the right to suspend and deregister the client without prior notice in the event of:

- Any breach of the terms of this document.
- In the event of infraction of any Rules, Bye-Laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or on the directions of SEBI and/or the Exchanges.
- Upon the death, winding up, bankruptcy, liquidation or lack of legal capacity of the client.
- The Client being designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator/Authority including without limitation SEBI.
- Bank account, demat account, securities account of the client being frozen or attached by any court of law or any other competent authority for whatever reason.

RIGHTS AND OBLIGATIONS OF STOCK BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts /other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.

2. The stock broker, and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.

5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

CLIENT INFORMATION

6. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.

7. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.

8. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.

9. The stock broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

10. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

11. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

12. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.

13. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.

14. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Byelaws, circulars and notices of Exchange.

15. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).

16. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

17. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

18. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.

19. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate Entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

20. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.

21. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.

22. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to conciliation/arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.

23. The stock broker shall ensure faster settlement of any dispute through conciliation/arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he

shall be liable to implement the conciliation report/settlement agreement /arbitration awards made in such proceedings.

24. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stockbroker.

TERMINATION OF RELATIONSHIP

25. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.

26. The stock broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

ADDITIONAL RIGHTS AND OBLIGATIONS

27. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

28. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

29. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

30. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

31. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.

32. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.

33. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

34. The stock broker / stock broker and depository participant shall not directly /indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

ELECTRONIC CONTRACT NOTES (ECN)

35. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

36. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

37. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.

1. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not

delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

2. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send either a physical contract note to the client or an ECN through electronic instant messaging services within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.

3. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

4. In addition to the specific rights set out in this document, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.

5. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

6. The stock broker and the client shall abide by conciliation report/settlement agreement/arbitration award passed by the conciliator/Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.

7. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.

8. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

38. If the rights and obligations of the parties hereto are

altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person



(First/Sole Holder Signature)

whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker

6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges. Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed

or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre - determined price, or trades through such price, the stop loss order converts to a market/limit

order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But

transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur

losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

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



(First/Sole Holder Signature)

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.exchange.com and SEBI website www.sebi.gov.in.
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub- broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.

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

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

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

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

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

14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.

15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against

the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the stock broker have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

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(First/Sole Holder Signature)

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED
BY STOCKBROKER TO THE CLIENT**

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stockbroker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stockbroker shall comply with all requirements applicable to internet-based trading/ securities trading using wireless technology as may be pacified by SEBI & the Exchanges from time to time.

2. The client is desirous of investing/ trading in securities and for this purpose, the client is desirous of using either the internet-based trading facility or the facility for securities trading through use of wireless technology. The Stockbroker shall provide the Stockbroker's IBT Service to the Client, and the Client shall avail of the Stockbroker's IBT Service, on and subject to SEBI/ Exchanges Provisions and the terms and conditions specified on the Stockbroker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/ SEBI.

3. The stockbroker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ internet/ smart order routing or any other technology should be brought to the notice of the client by the stockbroker.

4. The stockbroker shall make the client aware that the Stockbroker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/ SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stockbroker's IBT System using the Client's Username and/ or Password whether or not such person was authorized to do so. Also, the client is aware that authentication technologies and strict security measures are

required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/ or his authorized representative are not revealed to any third-party including employees and dealers of the stockbroker.

6. The Client shall immediately notify the Stockbroker in writing if he forgets his password, discovers security flaw in Stockbroker's IBT System, discovers/ suspects discrepancies/ unauthorized access through his username/ password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/ password in any manner whatsoever.

8. The stockbroker shall send the order/ trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stockbroker shall send the order/ trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stockbroker and the Exchange do not make any representation or warranty that the Stockbroker's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/ system failure at the Client/ Stock brokers/ Exchange end for any reason beyond the control of the stock broker/ Exchanges.

FH 

(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

AUTHORIZATION OF RUNNING ACCOUNT

To
R. J. Stock Broking Pvt. Ltd.
917-C, P. J. Tower,
Dalal Street, Fort
Mumbai-400001

Please note that my/our account and the funds be maintained on a running account basis until /unless we specifically revoked in writing.

1.I/We also specifically understand and agree that:

- a. This is only a voluntary authorization that may be revoked by me at any time.
- b. For my / our outstanding obligation on the settlement date, you may retain the requisite securities / funds towards such obligation and may also retain the funds expected to be required to meet margin or other obligations for next 5 trading days (or till I/we clear the same entirely) calculated in the manner specified by the exchanges.
- c. The actual settlement of funds shall be done at least one in the preference period selected below:
 Quarterly Monthly
- d. Any dispute from my/our end, arising from statement of account or settlement shall be brought to our notice in writing by me/us within 7 days of receipt of funds / securities / statements as the case may be.
- e. Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals/margin in form of bank guarantee, fixed deposit etc.
- f. In case of my our request /demand you shall transfer the funds, securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.
- g. There shall be not any inter client adjustment for the purpose of settlement of my/our running account.

2. In case I/We have traded even once during the last one month/quarter as the case may be, while settling the account please send statement of accounts containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement (s) being sent the retention of funds/securities and the details of pledge, if any, I/We agree that I/We shall bring the discrepancy arising from the statement of account on settlement preferably within 7 working days from the date of receipt of funds/ securities or statement as the case may be to the notice of Trading Member so as to allow the trading member to take remedial steps, if any are warranted.

3. In case, there is a credit balance in my/our account and there is no trading for 30 days here after the account will be settled to zero balance on or before 30th day

I/We understand that the aforesaid consents are purely voluntary and have been given to you for smoother operation of my/our client account with you as our broker and then only. I/We have put my/our signature only after proper understanding.

FH 

(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

ACKNOWLEDGEMENT

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors
3. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
4. Internet & Wireless Technology Based Trading Facility Provided by Members To client .
5. Additional voluntary rights and obligations as mutually agreed between Stock Brokers and Clients.
6. General Terms and Conditions governing Securities trading and broking services of R.J. Stock Broking Pvt. Ltd.
7. The stock broker reserves the right to close the Trading or Demat account, provided that a 30-day prior notice is given to the client. This ensures both parties have adequate time to manage their affairs and transition smoothly.
8. Signed copy of kyc form
9. Policy of Freezing and Unfreezing of Trading Account
10. RMS POLICY



(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

VOLUNTARY FREEZING OF THE TRADING ACCOUNT POLICY

1. Introduction

This policy outlines the procedures for voluntary freezing of trading accounts for clients of R. J. Stock Broking Pvt. Ltd. (hereinafter referred to as RJSBPL) in accordance with SEBI & Exchange Circulars.

2. Purpose

This policy aims to guide RJSBPL clients on the process, modes, timelines, and other details for facilitating the voluntary freezing of their trading accounts upon noticing any suspicious activity.

3. Scope and Applicability

This policy is applicable to all RJSBPL clients who wish to voluntarily freeze their trading accounts.

4. Review

This policy is part of RJSBPL's Risk Management Policy and shall be reviewed annually by the Board of Directors or earlier if necessary to ensure compliance with regulatory changes.

5. Procedure to Freeze Trading Account

Calling a Dedicated Support Line:

Call RJSBPL at the dedicated number 022- 41600611/612/613/614 (between 9:30 am – 5:30 pm excluding Sundays and public holidays).

The customer support agent will verify the client's identity and may request additional information.

Once verified, the agent will freeze the account.

6. Procedure to Unfreeze Online Trading Account

Clients can call the dedicated support line on 022- 41600611/612/613/614 and follow the agent's instructions. After necessary due diligence, the account will be unfrozen within approximately 30 minutes subject to necessary validations.

After the account has been unfrozen, the client can resume trading.

Clients will be allowed to trade through both online and offline modes, i.e. call and trade or through IBT.

7. Important Points to Note:

It is advised that the client closes all his open positions before giving the request for freezing the account.

Client's account will be blocked, within 15 minutes of receiving the freeze request.

Confirmation of the freeze of the account will be sent via email and SMS.

All pending orders, whether placed online or offline by the client, will be cancelled by the system and trading access will be blocked.

Clients will receive details of any open positions along with contract expiry information within an hour of freezing the account.

Fund addition and withdrawal will be allowed, but profile modifications will not be permitted.

Clients with open positions can call 022- 41600611/612/613/614 to close them.

To unfreeze the account, clients can call 022- 41600611/612/613/614.

In case client MTM is 80% or above, all the open positions will be auto squared off as per risk management policy of RJSBPL.

In case of margin shortage, client position will be auto squared off to the extent of margin shortage.

If client's account has a negative balance, their investments will be sold to cover the amount owed.

Any open position under Intraday product will be auto squared off by the system as per the Intraday product policy.

8. Clarifications:

It is clarified that-

- Freezing/blocking is only for access to the client's trading account, and there shall be no restrictions on the Risk Management activities of R. J. Stock Broking Pvt. Ltd. Clients will be liable to adhere to the existing risk policy already in place.
- The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
- Clients will be able to access the account in frozen state, although trading or profile modification options will be blocked.
- Freeze Request once submitted cannot be cancelled. Although the client can call us at 022- 41600611/612/613/614 and place a request for unfreeze.



(First/Sole Holder Signature)

Place: _____

Date: DD / MM / YYYY

R. J. Stock Broking Pvt Ltd

Registered / Corporate Office: 917-C, 9th Floor, P. J. Tower, Dalal Street, Fort, Mumbai-400001
Tel.: 022 41600611/612/613/614 Website: <https://rjbroking.com/> CIN: U67120MH1994PTC082156
Member: Bombay Stock Exchange Ltd. / National Stock Exchange of India Ltd.

SEBI Registration No.: INZ000262737

BSE & NSE Cash Segment

TM Code - BSE 3195 TM Code - NSE 90199

BSE & NSE F&O Segment (Trading Member)

TM Code - BSE 3195 TM Code - NSE 90199

NSE Currency Derivatives Segment (Trading Member)

TM Code - NSE Currency 90199

For any grievance/dispute please contact R. J. Stock Broking Pvt Ltd at the above address or email id: contactus@rjbroking.com and PhoneNo.:022 41600611/612/613/614. In case not satisfied with the response, please contact the concerned exchange (s):
BSE Email: is@bseindia.com & Tel.: (022) 2272 8097 | NSE Email: ignse@nse.co.in & Tel.: (022) 2659 8190

Compliance Officer Name: Ms. Mihika Vikas Parashar - 8770983545. Email ID: contactus@rjbroking.com
Authorized Director Name: Mr. Rishit Maniar - 022 41600611/612/613/614. Email ID: contactus@rjbroking.com
Also refer our website: <https://rjbroking.com/> for updated details, if any.