



Equity Brokers

DP ID

1	2	0	4	2	3	0	0
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Client ID

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Trading Code

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CLIENT REGISTRATION FORM



Online Account

Offline Account

Branch Name.....

Branch Code.....

Serial No.....



INSTRUCTIONS/CHECK LIST FOR FILING KYC FORM

- A. IMPORTANT POINTS:**
- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners /Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
 - Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
 - If any proof of identity or address is in a foreign language, then translation into English is required.
 - Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
 - If correspondence & permanent address are different, then proofs for both have to be submitted.
 - Sole proprietor must make the application in his individual name & capacity.
 - For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
 - For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
 - In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
 - For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
 - Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
- B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:**
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
 - PAN card with photograph.
 - Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. Proof of Address (POA): - List of documents admissible as Proof of Address:**
- (*Documents having an expiry date should be valid on the date of submission.)*
- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
 - Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
 - Bank Account Statement/Passbook -- Not more than 3 months old.
 - Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
 - Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ Gazetted Officer/Notary, public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
 - Identity card/ document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
 - For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
 - The proof of address in the name of the spouse may be accepted.
- D. Exemptions/clarifications to PAN**
- (*Sufficient documentary evidence in support of such claims to be collected.)*
- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
 - Investors residing in the state of Sikkim.
 - UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
 - SIP of Mutual Funds upto Rs 50,000/- p.a.
 - In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents:**
- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
 - In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents
- F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

Types of Entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of partnership deed. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of Trust deed. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Bank pass-book/bank statement in the name of HUF.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. Committee resolution for persons authorised to act as authorised signatories with specimen signatures.

INSTRUCTIONS/ CHECK LIST (for filing additional information related to trading account)

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

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

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

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For Individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'in-person' verification of the non-

- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	K1-K3 T1-T3
2.	Rights and Obligations	Documents stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading)	T4-T7
3.	Risk Disclosure Document (RDD)	Documents detailing risks associated with dealing in the securities market	T8-T10
4.	Guidance Note	Documents detailing do's and don't's for trading on exchange, for the education of the investors.	T11
5.	Policies and Procedures	Documents describing significant policies and procedures of the stock broker	T12-T15
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock Exchange(s).	T16

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. No.	Name of Document	Brief Significance of the Document	Page No.
7	Additional Information Related to Demat Account	A. Document capturing additional information for Demat Account (Individual / Non Individual)	D1-D5
		B. Depository Agreement	D6-D7
		C. Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL	D8-D9
		D. Authorisation for Electronic Notes, Format of Board Resolution	D10
		E. Schedule of Charges for Depository Services	D11
8	Letter of Authority	Authorisation to the Stock Broker by the Client	N1
9	Running Account Authorisation	Authorisation to the Stock Broker by the Client	N2
10	Verbal Order Acceptance Authorisation	Authorisation to the Stock Broker by the Client	N3
11	Pledge Authorisation	Authorisation to the Stock Broker by the Client	N3
12	Authorisation for Debiting Demat Account Operating Charges	Authorisation to the Stock Broker by the Client	N4
13	Declaration for Name Difference	Declaration to Stock Broker by the Client	N4
14	Authorisation for Lien & Set Off	Authorisation to the Stock Broker by the Client	N5
15	Declaration for Delivering Trade Confirmation Via SMS	Declaration to Stock Broker by the Client	N6
16	Format of Board Resolution	Format	N6
17	Declaration by Member of HUF	Declaration to Stock Broker by the Client	N7
18	Declaration by Sole Proprietor	Declaration to Stock Broker by the Client	N7
19	Declaration to be given by Partnership Firm on the Letter Head of the Firm	Declaration to Stock Broker by the Client	N8
20	Format of NOC letter to be submitted by Broker's / Exchange's Employee	Format	N8



RR EQUITY BROKERS PVT. LTD.

SEBI REGN NO.:			DATE
NSE	Cash	INB231219636	03 / 03 / 2005
NSE	F&O	INF231219636	02 / 03 / 2005
NSE	CD	INE231219636	13 / 05 / 2010
BSE	Cash	INB011219632	09 / 09 / 2005
MCX-SX	CD	INE261219636	30 / 09 / 2008
USE	CD	INE271219631	09 / 06 / 2010

Regd. Office : 55, 1st Floor Near Flyover, Neelam Chowk NIIT, Faridabad-121001

Phone: +91-129-2427367, 2427361

Corporate Office : 47, M.M. Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055

Phone: +91-11-23636363 / 23636362 Fax: +91-11-23636743

Website: www.rrfinance.com

Compliance Officer's Details

Name : Rakesh Gulati Phone No. : +91-9350316004
E-mail Id : rakeshgulati@rrfcl.com

CEO's Details

Name : Monojit Bose Phone No. : +91-11-23636363, 23636362
E-mail Id : monojitbose@rrfcl.com

Clearing Member Details for MCX-SX, USE and NSE Currency Futures

Name : Alankit Assignments Ltd.
SEBI Regn. No. : MCX-SX INE260881235
SEBI Regn. No. : USE INE270881235
SEBI Regn. No. : NSE INE230881235
Regd. Office : 205-208, Anarkali Complex, Jhandewalan Extension, New Delhi-110055
Phone No. : +91-11-42541234, 23541234 Fax : +91-11-23552001, 42541201

For any grievance/dispute please contact RR Equity Brokers Pvt. Ltd. at the above address or email id- rrequity@rrfcl.com and Phone no. +91-11-23636362/63. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name	E-mail ID	Phone No.	
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313	Toll Free : 1800 2200 51
Bombay Stock Exchange Ltd.	issdelhi@bseindia.com	011-43007413	
MCX Stock Exchange Ltd.	investorcomplaints@mcx-sx.com	022-67318933	
United Stock Exchange Ltd.	investorcomplaints@useindia.com	011-43007413	

Please fill this form in ENGLISH and in BLOCK LETTERS.

FOR INDIVIDUALS



A. IDENTITY DETAILS

Name of the Applicant																								
Father's/ Spouse Name																								
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	Marital Status	<input type="checkbox"/> Single	<input type="checkbox"/> Married	Date of Birth	DD / MM / YYYY																	
Nationality				Status	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident	<input type="checkbox"/> Foreign National																	
PAN				Unique Identification No. (UID)/Aadhaar (if any)																				
Specify the proof of Identity submitted																								

B. ADDRESS DETAILS

Address for Correspondence																								
City/Town/Village		Pin Code			State												Country							
Contact Details	Tel. (off)			Tel. (Res.)			Mobile No.																	
	Fax			E-mail Id																				
Specify the proof of address submitted for correspondence address																								
Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)																								
City/Town/Village		Pin Code			State												Country							
Specify the proof of address submitted for permanent address																								

C. OTHER DETAILS

Gross Annual Income Details (please specify) Income range per annum	<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> >25 Lac																							
	or Net-worth as on (date) DD / MM / YYYY (Net worth should not be older than 1 year)																							
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional																							
	<input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other.....																							
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																							
Any other information																								

DECLARATION

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

Signature of the Applicant

Date: DD / MM / YYYY

FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory
Date : DD / MM / YYYY

Seal/Stamp of the intermediary



KNOW YOUR CLIENT (KYC) APPLICATION FORM

Please fill this form in ENGLISH and in BLOCK LETTERS.

FOR NON-INDIVIDUALS

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

A. IDENTITY DETAILS

Name of the Applicant																											
Date of Incorporation	DD / MM / YYYY						Place of Incorporation																				
Date of commencement of business	DD / MM / YYYY																										
PAN							Registration No. (e.g. CIN)																				
Status (Please tick any one)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> BOI <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Others (please specify).....																										

B. ADDRESS DETAILS

Address for Correspondence																											
City/Town/Village							Pin Code				State							Country									
Contact Details	Tel. (off)							Tel. (Res.)							Mobile No.												
	Fax							E-mail Id																			
Specify the proof of address submitted for correspondence address																											
Registered Address (if different from above)																											
City/Town/Village							Pin Code				State							Country									
Specify the proof of address submitted for registered address:																											

C. OTHER DETAILS

Gross Annual Income Details (please specify : Income range per annum)	<input type="checkbox"/> Below Rs 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lac - 1 Crore <input type="checkbox"/> > 1 Crore or Net-worth as on (date) DD / MM / YYYY (Net worth should not be older than 1 year)																										
Name, Pan, Residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors																											
DIN/UID of Promoters/Partners/Karta and whole time directors																											
Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/ Whole time Directors (give details):		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																									
Any other information																											

Annexure Attached

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it. Date : DD / MM / YYYY	Name(s) of the Authorised Signatory	Signature of the Auth. Signatory
	1.	
	2.	
	3.	
	4.	

FOR OFFICE USE ONLY



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

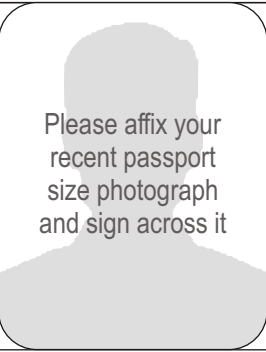
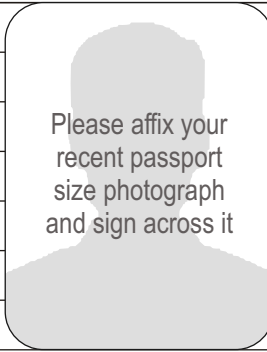
Signature of the Authorised Signatory

Date : DD / MM / YYYY

Seal/Stamp of the intermediary

Annexure for Promoters/Partners/Karta/Trustees/whole time directors and Authorised Person Details

		(1)	(2)
Name		 <p>Please affix your recent passport size photograph and sign across it</p>	 <p>Please affix your recent passport size photograph and sign across it</p>
Designation			
PAN			
Residential Address			
Contact No.			
DIN/UID			
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Politically Exposed Person (PEP)	
	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
Experience			

		(3)	(4)
Name		 <p>Please affix your recent passport size photograph and sign across it</p>	 <p>Please affix your recent passport size photograph and sign across it</p>
Designation			
PAN			
Residential Address			
Contact No.			
DIN/UID			
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)	<input type="checkbox"/> Politically Exposed Person (PEP)	
	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
Experience			

NOTE : If any information required to be given does not fit in the space provided in the form, an Annexure may be used.



ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT

ANNEXURE-3

FOR INDIVIDUAL & NON-INDIVIDUAL

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank account No.	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)		Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL			

C. TRADING PREFERENCES

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

Exchange	Segments			
NSE	Cash	Sign. if applicable	**Currency Derivative	Sign. if applicable
	F&O	Sign. if applicable	MFSS	Sign. if applicable
BSE	Cash	Sign. if applicable	BSE StAR Mutual Fund	
	F&O	Sign. if applicable		
MCX-SX		Sign. if applicable	**Currency Derivative	
USE		Sign. if applicable	**Currency Derivative	

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker. **Currency derivative segment include interest rate future.

D. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, give details (attach annexure if required)

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name												
SEBI Registration Number												
Registered office address									PIN Code			
Website				Phone				Fax				
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)												
Name of stock broker												
Name of Sub-Broker (if any)												
Client Code				Exchange								
Details of disputes/dues pending from/to such stock broker/sub-broker												

F. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contract Note <input type="checkbox"/> Electronic Contract Note (ECN)
In case of ECN Specify your Email id	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (attach annexure if require)	Annexure Attached
Any other information	

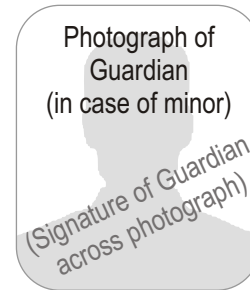
G. INTRODUCER DETAILS (optional)

Name of the Introducer				
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify):			
Address of the Introducer				
Phone No. of Introducer				
Signature of the Introducer				

H. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee	
Relationship with the Nominee	PAN of Nominee
Date of Birth of Nominee	DD / MM / YYYY
Address of the Nominee	Phone No. of Nominee

If Nominee is a minor, details of guardian:			
Name of Guardian:			
Address of the Guardian:			
Phone No. of Guardian:		Signature of the Guardian:	



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

Name	
Signature	
Address	

Name	
Signature	
Address	

DECLARATION

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

Name(s) of the Authorised Signatory	Signature of the Authorised Signatory
1.	
2.	
3.	
4.	

Date: DD / MM / YYYY

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

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

Signature of the Authorised Signatory Date: Seal/Stamp of the stock broker

ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT

 Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 DP ID

1	2	0	4	2	3	0	0
---	---	---	---	---	---	---	---

(Please fill all the details in CAPITAL LETTERS only)

I/We request you to open a depository account in my/our name:

Type of Account	<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter
	<input type="checkbox"/> HUF	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Others (Please Specify)	

SOLE/FIRST HOLDER'S DETAILS (needs to be filled in case account to be open in the name of Karta of HUF, Partners(s) of Partnership firm, Trustee of Un-registered Trust, Authorised person of AOP/Un-registered body)

Name	
Name of Father/Husband	
Local/Permanent Address	
City	State
Country	Pin code
Correspondence Address	
City	State
Country	Pin code
Address for Communication/Corporate Benefits (Default option is Local/Address)	<input type="checkbox"/> Local/Permanent Address <input type="checkbox"/> Correspondence/Foreign Address
Phone No. (with STD/ISD Code)	Fax No.
Mobile No.	
E-mail Id	
Occupation	

SECOND HOLDER'S DETAILS

Name	
Name of Father/Husband	
Address	
City	State
Country	Pin code
Phone No. (with STD/ISD Code)	Fax No.
Mobile No.	
E-mail Id	
Occupation	

THIRD HOLDER'S DETAILS

Name	
Name of Father/Husband	
Address	
City	State
Country	Pin code
Phone No. (with STD/ISD Code)	Fax No.
Mobile No.	
E-mail Id	
Occupation	

GUARDIAN DETAILS (IN CASE THE SOLE/FIRST HOLDER IS A MINOR)

Name									
Relationship with the applicant; if any									
Address									
City	State								
Country	Pin code								
Date of Birth (of minor)	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

IN CASE OF NRI's

Foreign Address									
Pin code									
RBI Reference No.	RBI Approval Date <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

STANDING INSTRUCTIONS (Please tick whichever is applicable)

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

FINANCIAL DETAILS

	PAN / GIR No.										IT Circle / Ward / District No.											
Second Holder																						
Third Holder																						
Guardian Details (if sole holder is minor)																						

ADDITIONAL FINANCIAL DETAILS

Nature of Business	
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BANK DETAILS (Please submit copy of cancelled Cheque)

Bank Account No.																							Bank Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	
Bank Name																										
Branch Address																										
	City																State									
	Country																Pin code									
Bank Code*																							*9 Digits Code No. of the Bank & Branch appearing on the MICR cheque issued by the Bank. MICR beginning with '0' are not valid.			
IFSC Code																										

SMS ALERT FACILITY: (if yes fill mobile no. on relevant places.)

FIRST HOLDER	<input type="checkbox"/> Yes	<input type="checkbox"/> No	SECOND HOLDER	<input type="checkbox"/> Yes	<input type="checkbox"/> No	THIRD HOLDER	<input type="checkbox"/> Yes	<input type="checkbox"/> No
--------------	------------------------------	-----------------------------	---------------	------------------------------	-----------------------------	--------------	------------------------------	-----------------------------

Please attach recent passport size photograph(s) in the space provide below :

Sole/First Holder	Second Holder	Third Holder

DECLARATION

The rules and regulations of the Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We also declare that the particulars given by us are true to the best of our knowledge as on the date of making such application. We further agree that any false or misleading information given by us or suppression of any material fact will render our account liable for termination and further action.

	NAME OF HOLDER(S)	SIGNATURE(S)
Sole/First Holder (Mr./Ms.)		
Second Holder(Mr./Ms.)		
Third Holder (Mr./Ms.)		
Guardian (Mr./Ms.) (in case Sole/First Holder is Minor)		

Note : 1. All communication shall be sent at the address of the Sole/First holder only.
 2. Thumb impression and signatures other than Hindi or English or any of the other languages not contained in the 8th Schedule of Constitution of India must be attested by a Magistrate or a Notary Public or a Special Exchange Magistrate.

ADDITIONAL INFORMATION RELATED TO DEMAT ACCOUNT

RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005
 Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
 E-mail: equity@rrfcl.com Website : www.rrfinance.com

Dear Sir/Madam,

I/We the sole holder / Joint holders / guardian (in case of minor) hereby declare that:

I/We do not wish to nominate any one for this account.

[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this Form]

I/We nominate the following person who is entitled to receive security balances lying in my/our account, particulars whereof of are given below, in the event of the death of the sold holder or the death of all joint holders

BO ACCOUNT DETAILS														
DP ID	1	2	0	4	2	3	0	0	Client Id					
Name of the Sole / First Holder														
Name of Second holder														
Name of Third holder														
Nominee Details														
First Name														
Middle Name														
Last Name														
Address														
City								State						
Country								PIN						
Telephone No.								Fax No.						
E-mail ID														
Relationship with BO (If any)														
Date of Birth (if nominee is a minor)														

As the nominee is a minor as on date, I/we appoint following person to act as Guardian:

Nominee details														
First Name														
Middle Name														
Last Name														
Address														
City								State						
Country								Pin						
Telephone No.								Fax No.						
Age														

to receive the securities in this account on behalf of the nominee in the event of the death of the sole holder / all Joint holders.

This nomination is in the accordance with the section 109A of the companies Act, 1956, and shall supersede any prior nomination made by me/us and also testamentary document executed by me / us. Place : _____ Date :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

	First / Sole Holder	Second Holder	Third Holder
Name			
Signature			

Note : Two witnesses shall attest signature(s) / thumb impression(s).

Details of the Witness

	First Witness	Second Witness
Name of witness		
Address of Witness		
Signature of Witness		

To be filled by DP

Nomination Form accepted and registered wide Registration No. _____ dated _____

For Depository Participant

(Authorised Signatory)



ADDITIONAL INFORMATION RELATED TO CORPORATE / CLEARING MEMBER DEMAT ACCOUNT

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

 DP ID

1	2	0	4	2	3	0	0
---	---	---	---	---	---	---	---

(Please fill all the details in CAPITAL LETTERS only)

I/We request you to open a depository account in my/our name as per the following details:

OTHER HOLDER DETAILS

Second Holder Name								
Name of Father / Husband								
Correspondence Address (if different)								
	City					State		
	Country					Pin code		
Telephone No. (with STD/ISD Code)					Fax			
Mobile No.					Occupation			
E-mail Id								
Third Holder Name								
Name of Father / Husband								
Correspondence Address (if different)								
	City					State		
	Country					Pin code		
Telephone No. (with STD/ISD Code)					Fax			
Mobile No.					Occupation			
E-mail Id								

STANDING INSTRUCTIONS

(Please tick whichever is applicable)

I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (POA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

FINANCIAL DETAILS

	PAN/GIR No.	IT Circle / Ward / District No.																				
Second Holder	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																					
Third Holder	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																					

ADDITIONAL FINANCIAL DETAILS

Nature of Business	
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BANK DETAILS

Bank Account No.	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																					Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current	
Bank Name																								
Branch Address																								
	City					State																		
	Country					Pin Code																		
Bank Code*	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																							
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SMS ALERT FACILITY (if yes fill mobile no. on relevant places.)

FIRST HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No	SECOND HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No	THIRD HOLDER	<input type="checkbox"/> Yes <input type="checkbox"/> No
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IN CASE OF FIIs / OCBs / OTHERS (as may be applicable)

Foreign Address								
	Pin code							
RBI Reference No.	RBI Approval Date							
SEBI Registration No. (for FIIs)								
Address for communication/Corporate Benefits	<input type="checkbox"/> Registered / Permanent Address							
Default option is Registered Office Address	<input type="checkbox"/> Correspondence Address / Foreign Address							

CLEARING MEMBER DETAILS (To be filled up by Clearing Members only)

Name of Stock Exchange								
Name of Clearing Corporation								
Clearing Member ID					SEBI Regn. No.			
Trade Name								
CM BP-Id (To be filled up by participant)								

INTRODUCTION (by and existing account holder / applicant's bank)

DP ID :					Client ID			
(In case of existing account holder).								
I confirm the identity and address of the applicant(s)								
Name of Applicant(s)								

Signature of Introducer/Signature and Seal in case of Bank (To be verified by DP Official)

Please attach recent passport size photograph(s) in the space provided below :

Sole/First Holder	Second Holder	Third Holder

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We also declare that the particulars given by us are true to the best of our knowledge as on the date of making such application. We further agree that any false or misleading information given by us or suppression of any material fact will render our account liable for termination and further action.

Mode of Operation for Sole/First Holder (In case of Joint holdings, all the Holders must sign)	<input type="checkbox"/> Any One Singly	<input type="checkbox"/> Jointly By
	<input type="checkbox"/> As per Resolution	<input type="checkbox"/> Others (Please Specify).....

AUTHORISED SIGNATORIES (ENCLOSE A BOARD RESOLUTION FOR AUTHORISED SIGNATORIES)

SOLE / FIRST HOLDER	NAME	SIGNATURE(S)
First Signatory		
Second Signatory		
Third Signatory		
OTHER HOLDERS	NAME	SIGNATURE(S)
Second Holder		
Third Holder		

AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIARY OWNER'S ACCOUNT

This Agreement made and entered into at Delhi this _____ day of _____, between RR Equity Brokers Pvt. Ltd., (description of the legal entity) having his/its office/corporate office at 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055, hereinafter called "the Participant" of the One Part;

AND _____, (description of the legal entity) having his/its office/registered office/ address at _____ hereinafter called "the Beneficial Owner" of the Other Part.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded herein below:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:

General Clause

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

Fees, Charges and deposits

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid [not exceeding 18%] per month or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

Statement of Account

3. 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as

communicated by CDSL from time to time. The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

Beneficial Owner shall intimate change of particulars

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner. Participant not liable for claims against Beneficial Owner

5. Depository shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.

Authorised Representative

6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Closure of Account

7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

Stamp Duty

8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

Force Majeure

9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal

conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

Service of Notice

10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

Arbitration

11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

Jurisdiction

12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in _____

Governing Law

13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

Signed and delivered by Client	
Sole/First Holder Signature	
Second Holder Signature	
Third Holder Signature	
Signed and delivered by Participant	
For RR Equity Brokers Pvt. Ltd.	
Authorised Signatory	

WITNESS	
Signature	
Name	
Address	
WITNESS	
Signature	
Name	
Address	

Place :

* Please stamp & Sign in case of HUF Account

Date : DD MM YYYY

** In case of Joint holding, all joint holders must sign.



RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005

Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43

E-mail: equity@rrfcl.com Website : www.rrfinance.com

Terms and Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its corporate office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of Dps who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository

for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO

and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.

- 8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
- 9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

DP ID	1	2	0	4	2	3	0	0
-------	---	---	---	---	---	---	---	---

BO ID									
-------	--	--	--	--	--	--	--	--	--

(Please write your 8 digit BO Id in CDSL)

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+ 9 1										
-------	--	--	--	--	--	--	--	--	--	--

Please write only mobile no. without prefixing country code or zero)

The Mobile No. is registered in the Name of : _____

E-mail Id : _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Place : _____

Date : _____ / _____ /20_____

In case of joint holding, all joint holders must sign



AUTHORISATION FOR ELECTRONIC NOTES

To,
 RR Equity Brokers Pvt. Ltd.
 Regd. Office : 55, 1st Floor Near Flyover, Neelam Chowk NIIT, Faridabad-121001
 Haryana- 121001 Phone: +91-129-2427367, 2427361
 Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43
 E-mail: equity@rrfcl.com

Beneficial Owner (BO) Account No. _____

I/We _____ [name (s) of the BO (s)]
 has entered into agreement dated _____ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of account pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me / us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me /us with statement of my/ our BO account. But, I/We reserve my / our right to receive the demand is made in writing on you.

[Email address: _____]

I/We confirm that any change in the aforesaid email address or any other instruction with regard to dispatch / service of my / our statement of account on me / us shall not be binding upon you unless you are intimated in writing by me/ us by acknowledged delivery.

Yours faithfully,

First Holder

Second Holder

Third Holder

FORMAT OF BOARD RESOLUTION ON THE LETTER HEAD OF THE COMPANY

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF
 _____ HELD ON DAY _____ DATE _____ MONTH _____ YEAR
 _____ AT REGISTERED OFFICE OF THE COMPANY, AT _____

“RESOLVED THAT the consent of the company be and is hereby given to the Board of Directors to open Depository Account with RR Equity Brokers Private Limited, the Depository Participant, as per rules and regulations laid upon by CDSL.

RESOLVED FURTHER THAT Mr. _____ and Mr. _____ be and are hereby authorized by the Board to operate the aforesaid account singly or jointly and the said RR Equity Brokers Private Limited is authorized to honour all instructions issued by any of the Authorized Signatories so authorized in relation to the above account subject to the Rules and Regulation and Terms and Conditions agreed.

RESOLVED FURTHER THAT the aforesaid Mr. _____ and Mr. _____ be and are hereby singly or jointly authorized to sign/file/submit any form/document relating to the account to RR Equity Brokers Private Limited”

Certified true copy

For _____

Director

RR Equity Brokers Pvt. Ltd.

DP : CENTRAL DEPOSITORY SERVICES (I) LIMITED | DPID : 12042300 DP SEBI Regn. No. IN-DP-CDSL-324-2005

Corporate Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636362-63 Fax : +91-11-23636744-43

E-mail: equity@rrfcl.com Website : www.rrfinance.com

SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES

PARTICULARS	CHARGES
1. Account Maintenance Charges	₹ 200 per annum ₹ 1000 (Corporate) per annum. To be paid in advance
2. Demat Charges per request	₹ 25/-+ Courier Charges extra + ₹ 2/- per certificate
3. Remat & Re purchase per request	₹ 15/- per 100 securities or part quantity or ₹ 25/- per certificate whichever is higher
4. Transaction Charges - Market / Off Market / Inter depository (Delivery)	₹ 10/- (.22%) upto ₹ 25/- ₹ 25/- for Non RR Equity Clients (per transaction)
5. Pledge / Hypotheication - Creation / Closure / Invocation	₹ 25/- (per transaction)
6. Instruction Booklet	₹ 10/- for 10 leaves, ₹ 20/- for 20 leaves, ₹ 50/- for 50 leaves
7. Failed Instruction	₹ 30/-
8. Non periodic Statement / Additional Statement	₹ 50/-
9. Modification in Client Master	₹ 50/- (per request)

NOTES:

1. Minimum courier charges @ Rs. 25
2. In case of delays in the payments of charges, the demat account will be frozen for all operation till such time all dues are cleared subject to 30 days notice from the payment due date.
3. All instructions for transfer must be received in physical form from the clients upto 4.00 pm on "T+1" for pay in securities late instructions would be accepted it the account holder's sole risk and responsibility.
4. Charges are subject to revision at the companies sole discretion and as per revisions in CDSL charges and are subject to 30 days notice front the date of applicability.
5. All payment to be made in the name of RR Equity Brokers Pvt. Ltd. "Via a Cheque/DD payable at the local branch where the account is opened. Outstanding cheques will not be accepted.
6. Any advance payment over and above the normal amount due can also be made, Any such higher amount paid than the minimum amount payable at the time of account opening shall be adjusted against the bills raised from time to time.
8. Lieves and taxes will be charged as applicable

CHARGED OF NON-PAYMENT OF DUES :

Penalty and Interest charges	A penalty of 2% per month on the value outstanding on the bills after one month from the due date.
Non-Payment of bill after 30 days	The depository services for from the due date of the payment the account will be temporarily withdrawn. The renewal charges for resuming the depository operations will be Rs. 100 per account



Sole/First Holder Signature



Second Holder Signature

In case of joint holding, all joint holders must sign



Third Holder Signature

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, sub-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.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. 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.
8. 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.
9. 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.
10. The stock broker and sub-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

11. 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.
12. 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

13. 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.
14. 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.
15. 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, Bye-laws, circulars and notices of Exchange.
16. 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).
17. 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

18. 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

19. 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.
20. 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.
21. 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

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. 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.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to 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.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. 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/stock-broker.

TERMINATION OF RELATIONSHIP

27. 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.
28. The stock broker, sub-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.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. 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.
31. 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.
32. 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.
33. 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.

34. 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.
35. 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.
36. 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.

ELECTRONIC CONTRACT NOTES (ECN)

37. 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.
38. 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.
39. 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.
40. 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.

41. 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 a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. 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

43. In addition to the specific rights set out in this document, the stock broker, sub-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.
44. 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.
45. The stock broker and the client shall abide by any award passed by the 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.
46. 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.
47. 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.
48. 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 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.

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent,

Under instruction of SEBI, The National Stock Exchange Ltd. (NSE) / Bombay Stock Exchange Ltd. (BSE) / MCX Stock Exchange Ltd. (MCX-SX), United Stock Exchange Ltd. (USE) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash, F&O Segment and Currency Derivatives Segment of NSE, Cash and F&O Segment of BSE & Currency Derivatives Segment of MCX-SX/USE.

Kindly take note of the above and oblige.

Thanking You

For RR Equity Brokers Pvt. Ltd.

Authorised Signatory

I/We have read the above letter.

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.

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.nseindia.com, www.bseindia.com, www.mcx-sx.com, www.useindia.com, www.dseindia.org.in 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 the 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 give 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/sub-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/sub-brokers 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.

As per SEBI Circular No : MIRSD/SE/Cir-19/2009 Dated 3rd December, 2009

1. Refusal of orders for penny stocks,
 - a. The broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the broker / exchange(s) / regulator. Provided further that broker may require compulsory settlement / advance payment of expected settlement value/delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.
 - b. The broker may require reconfirmation of orders, which are larger than that specified by the broker's risk management, and broker would have full discretion to reject the execution of such orders based on its risk perception.
2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.
 - a. The broker may from time to time impose and vary limits on the orders that the client can place through the broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the broker may need to vary or reduce the limits or impose new limits urgently on the basis of the broker's risk perception and other factors considered relevant by the broker including but not limited to limits on account of exchange/ regulatory directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the broker may be unable to inform the client of such variation, reduction or imposition in advance. The broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the broker's trading system on account of any such variation, reduction or imposition of limits. Further the broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by broker / exchange/ regulator and any other reasons which the broker may deem appropriate in the circumstances. The losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.
 - b. The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her /its orders / trades /deals and to ensure that the required margin / security is made available to the broker in such form and manner as may be required by the broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she /it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/ or any claim / loss/ damage arising out of the non-availability /shortage of margin /security required by the broker & / or exchange &/or regulator.
- c. The broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin /security deposited by the client with the broker are not eligible for any interest unless specifically agreed to.
- d. The broker is entitled to include /appropriate any /all pay out of funds & / or securities towards margin / security without requiring specific authorizations for each pay out. The broker is entitled to transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the broker. The client also agrees and authorises the broker to treat / adjust his / her/ its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.
- e. The broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, in the opinion of the broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the broker so apprehends.
3. Applicable brokerage rate
 - a. The broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:
 - i. The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market/ Futures/Currency and Interest rate futures segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less in capital market segment, a maximum brokerage of 25 paise per share may be collected.
 - ii. Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs.100/- (per lot) whichever is higher.
4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not

result in funding by the broker in contravention of the applicable laws)

- a. Any amounts which are overdue from the client towards trading or on account of any other reason to the broker will be charged from the client with delayed payment charges at such rates as may be determined by the broker. The client should not indulge in trading activity which is against law, rules and regulations.
- b. Clients trading activity should not be aimed at disturbing market equilibrium or manipulating market prices etc. If the client does so, the broker may keep in abeyance the payout funds or securities till such time that the client has been able to clearly demonstrate that his actions were not malafide in any manner.
- c. The broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client. The client agrees to pay to the accept any payments in any form after such deadline for margin/security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/ security or to meet the funds/margins/securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:
 - i. To with hold any payout of funds/ securities.
 - ii. To with hold /disable the trading / dealing facility to the client.
 - iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
 - iv. To liquidate / square off partially or fully the position of sale & / or purchase in any one or more securities / contracts in such manner and at such rate which the broker may decide in its absolute discretion.
 - v. To take any other steps which in the given circumstances, the broker may deem fit. The client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by the broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the broker.
6. Shortages in obligations arising out of internal netting of trades
 - a. The broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first. The policy and procedure for

settlement of shortages in obligations arising out of internal netting of trades is as under:

- b. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- c. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+3 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- d. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure /record date, would be compulsorily closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.
7. Temporarily suspending or closing a client's account at the client's request, and
The client may request the broker to temporarily suspend his account, broker may do so subject to client accepting / adhering to conditions imposed by broker including but not limited to settlement of account and/ or other obligation. The broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.
8. Deregistering a client.
Not with standing anything to the contrary stated in the client broker documents, the broker shall be entitled to suspend the account of client with immediate effect and if need be deregister the client in any of the following circumstances:
 - i. If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
 - ii. If there is any commencement of a legal process against the client under any law in force;
 - iii. On the death/lunacy or other disability of the client;
 - iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;
 - v. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
 - vi. If the client being a partnership firm, has any steps taken by the client and/ or its partners for dissolution of the partnership;

- vii. If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, Including (without limitation) In relation to the Security;
- ix. If there is reasonable apprehension that the client Is unable to pay Its debts or the client has admitted Its Inability to pay its debts, as they become payable;
- x. If the client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the broker;
- xi. If the client is in breach of any term, condition or covenant with the broker.
- xii. If any covenant or warranty of the client is incorrect or untrue in any material respect;
- 9. Other significant policies and procedures
 - a. Proprietary Trading
The broker do undertake proprietary trading.
 - b. Trading Related
 - i. The relationship being established between the client and the broker shall be that of principal and agent and the broker shall be the agent of the client. The client is required to make independent enquiries and satisfy himself that he is entitled to enter into the broker client relationship with the broker in the jurisdiction in which the client resides.
 - ii. The broker recommends that client places orders in writing and takes acknowledgement as per the format available from the broker, so as to avoid any future disputes. The client may also choose to place orders verbally (by visiting the branch or through telephone), through e-mail, SMSs and /or through Internet based trading terminal which can be provided to the client upon requirement of client. The client may authorize his authorized representative to carry out the above whose orders shall be binding on the client.
 - iii. The broker advises that it is preferable that client gives orders on the day the client desires trades, including orders for modification/cancellation, which the broker will punch in the trading system on a best efforts basis. However if client chooses to give orders in aftermarket hours than upon specific instruction of the client the broker may attempt to enter them in the trading system on the next trading day however it may not be possible in all instances to do so.
 - iv. Orders given by client may or may not result in trades and the client should continuously monitor the final outcome of the order. Where orders have resulted in trades the same may or may not result in delivery and the client should continuously monitor his pay in / payout obligations.
 - v. No employee, sub broker, director or any other agent of the broker is authorized to give any assurances of profits, or to manage the account of the client in any discretionary manner. The client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the client should not enter into any personal/private mutual understanding with any employee, sub broker, director or any other agent of the broker.
- vi. The broker uses trading platforms such as ODIN/ Fast Trade etc. which are exchange approved however there is no guarantee/warranty that these are bug / glitch free and the client may in rare occasions suffer losses which he should keep in mind while dealing through the broker.
- vii. Where prima-facie it appears that trading system is suffering from some problems such as incorrect positions being shown etc. the client should refrain from trading and immediately bring the problem to the notice of the broker and act only after the problem has been resolved. If broker or any other clients suffer on account of actions of the client in such situations the client will be liable to make good the losses suffered by broker or other clients.
- viii. The broker may tape record conversations of the client over telephone/in person however the broker shall not be obliged to do so and absence of availability of recordings shall not render any order/transaction unenforceable against the client, inasmuch as the orders can be placed over mobile phones, through visiting the branch and the recorded orders are also liable to damage/erasure on account of virus/capacity overrun of the machine.
- ix. As a measure of risk containment the broker may subject orders of the client to prior risk control assessment (such as checking availability of margin) before allowing the same to go into the trading system
- x. The broker may provide market research through e-mail, SMSs, website, printed material or through discussions however the same is provided without any warranty or guarantee or suitability for the client and is provided on an as is where is basis and broker recommends that client may get the same examined through his personal financial/legal advisers as deemed fit. The facilities/data/research shall be provided to client on as is where is basis only for personal use and all rights in the same shall exclusively rest with the broker, and client is not entitled to share it whether for consideration or otherwise with any third party without a formal written authorisation by the broker. In the event of a breach the broker shall be entitled to bring legal action against the client.
- xi. The broker issues contract notes with the order number and trade number and therefore shall not be providing order confirmation and trade confirmation slips to the client.
- xii. The broker may send various information such as, documents, bills, margin statements, statement of accounts etc., to the client through any one or more of the following means i.e. post, registered post, speed post, courier, telegram, , voice mail, SMS, telephone, messages on trading platform, through word of mouth by the agents of the broker, by displaying it on the website of the broker or making it available as a download from the website of the broker, displaying it on the notice board of the branch, newspaper advertisements or if circumstances so require, by broadcast over radio/television and where the client has provided email address, then these informations may also be sent by the broker through email. The service providers such as postal authorities, Courier Company, phone / SMS service providers etc., shall be agents of the client and the delivery of the information shall be complete when the broker delivers the communications to such service

- providers.
- xiii. The client should review all information sent to the client including contract notes etc. immediately upon receipt and revert the discrepancy if any (including if any trades in the account are not as per client directions / orders) within 48 hours of the receipt of the same to allow the broker to take remedial steps if any are possible.
 - xiv. The broker may pledge the securities of client lying with it as margin/collateral with third parties such as banks etc. to meet settlement / margin obligation.
 - xv. The client shall forthwith cease trading and inform the broker in the event the client becomes ineligible to deal with the broker on account of any court, exchange or regulatory action.
 - xvi. The broker shall be entitled to disseminate information about defaults made by the client to third parties.
 - xvii. The client shall not work as a sub broker/authorised person without prior written permission of the broker and only after seeking appropriate registration with respective registering authorities.
 - xviii. The client shall also not deal through the broker of an exchange of which the client himself is a member / Sub Broker / Authorised Person.
 - xix. The broker shall be entitled to maintain combined/ collective books of accounts of the client across exchanges and/or other services such as depositories etc.
 - xx. The client shall maintain a regular watch on his account including on his margin/collateral and ensure payment well before the due dates so that the broker may not be required to liquidate/close out any margin/open positions.
 - xxi. The records as provided by the broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of broker and the client. Printouts taken from trading system or any such downloads etc. which are taken by the client from trading system may not give the correct picture and therefore shall not be the official record which bind the broker and the client.
 - xxii. The client shall upgrade to the newer versions of trading software/back-office software etc. on account of changes made by the broker and/or any other service provider like depositories/Banks.
 - xxiii. The existence of broker client relationship does not imply that broker is liable to provide each and every service to the client, and services may not be provided in case the client does not fulfill the necessary conditions for the same.
 - xxiv. Where the client chooses to clear his trades through Professional Clearing Member (PCM) , then the broker shall revert such trades as are not confirmed by the PCM to the client who shall be then liable to not only pay all the margins on the same but to also settle the same.
- c. Payment related
 - i. The broker may debit charges for other services such as depository, charges on account of dishonour of cheques, charges for issuance of demand drafts, NEFT/RTGS, SMS charges, research report charges, minimum processing fee charges etc. to the client's account.
 - ii. The broker does not accept cash and in no event should the client make any payments to the broker, broker's employees, broker's sub-broker/authorised persons and/or any agent of broker by cash.
 - iii. The client must make payments from his own bank account through a bank instrument. The broker may demand a proof that the payments are being made by the client from his own account without which the Broker may not give credit to the client. In case of Demand Drafts, following may be required:
 - iv. Certificate from the issuing bank on its letter head or on a plain paper with the seal of the issuing bank.
 - v. Copy of the passbook/bank statement for the account debited to issue the instrument duly certified by the Bank. Please ensure that copy of the passbook/bank statement clearly reflects that amount has been debited for the purpose of issuing of prefunded instruments in favor of RR Equity Brokers Pvt. Ltd.
 - vi. The client should never leave any blank instrument(s) such as cheques / depository instruction slips (DIS) etc. with broker or broker's employees, broker's sub-broker/authorised persons and/or any agent of broker. The broker shall not be responsible for their misuse.
 - vii. The broker shall make delivery of funds/securities to the client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering client.
 - d. Corporate Action
 - i. The client may keep securities with broker for ease of payments/margin, however, the broker shall not be liable to apply for and receive benefits of corporate action on the same and the client shall be solely responsible to get these transferred to his personal demat account to receive the corporate benefits. Broker, in exceptional circumstances, upon specific written request, may attempt to seek corporate benefits for and on behalf of the client while keeping the custody of securities with its own self, however the same shall be without any warranty/guarantee that the corporate benefits shall be received. The client shall also provide funds and application etc. well in time to allow the broker to take necessary action.
 - ii. Where any corporate benefits come into the broker's account, upon any written request / agreed settlement procedures the same shall be held as part of existing margin/collateral, and shall be released to the client upon written request.
 - iii. The contract specifications may undergo changes because of corporate actions (such as shares split etc.) /directions by exchanges, and the client should actively monitor his open positions and take necessary actions to avoid any losses on account of any such changes.

Client confirms having read & accepted the terms & conditions of this document titled "Policies and Procedure" inter-alia comprising clauses 1 to 9 and agrees to be bound by all of them including those excluding/limiting the broker's liabilities.

Client Signature



TARIFF SHEET (Subject to Change without Notice)

CASH SEGMENT

Brokerage Slab	Slab %	Minimum Paise	One Side / Both Side
Delivery Based			
Daily Square Up			

DERIVATIVES SEGMENT

Brokerage Slab	Slab %	Minimum Paise / Per Lot	One Side / Both Side
Future			
Option			

CURRENCY DERIVATIVES SEGMENT

Brokerage Slab in % Per Lot (in ₹)	Minimum Brokerage Per Lot

MUTUAL FUNDS

Brokerage Slab	Slab %	Minimum Paise
Delivery Based		

*Transaction Charges, STT, Stamp Duty, Demat Charges, Penalty on Delayed Payments, Service Tax and Other Govt. Levies are extra.

*In case of Physical Contract Note, a Difference of ₹ 25/- per in total Brokerage booked on a Particular date would be charged towards minimum processing fee.

For Client opting for online application based facility

- I wish to avail ODIN DIET Client (application based) online trading facility and ready to pay ₹300/- p.m. subscription fees per exchange per segment and authorize you to debit the subscription fees as applicable to my trading account for availing the said facility. I further agree / accept that subscription fees will not be debited in my account if I generate a brokerage of ₹3000/- p.m. per segment (for which online facility is availed). In case of auto renewal of opted facility I authorize you to debit the subscription fees as applicable from time to time.

Signature



NON-MANDATORY
DOCUMENTS







RUNNING ACCOUNT AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, I / we further authorize you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

I/am/We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal/trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (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 the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your corporate office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorisation at any time, however, such termination shall be subject to notice period of fifteen days from the date of physical delivery of revocation letter at your registered office to allow you to make necessary changes to handle my account without running account authorisation. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calendar Quarter

Once in a Calendar Month

Thanking you,

Signature [Handwritten Signature]

Client Name [Empty Field]

Date [Empty Field]

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

Signature [Signature box]

Client Name [Client Name box]

Date [Date box]

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

PLEDGE AUTHORISATION

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/we have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my broker i.e. agent I/ we direct and authorize you as under.

Pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/ pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledgee sells / liquidates these securities I/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

Signature [Signature box]

Client Name [Client Name box]

Date [Date box]

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]



AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you or by on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

DEPOSITORY	DEPOSITORY PARTICIPANT	BENEFICIARY ACCOUNT
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		
<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL		

Thanking you
Yours faithfully

Signature

Client Name

Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

DECLARATION FOR NAME DIFFERENCE

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I, Mr. / Mrs. / Ms....., state and declare that I am also known as..... and many of my official records bear my name as.....

I say that I desire to open a trading account with you under the name and style of....., although the documents submitted by me are bearing my name as.....

I request you therefore to open the account with your company on my aforesaid representation as per the form duly filled in by me and accept the documents furnished by me in support thereof. I agree to abide by all the terms & conditions of the company as are applicable for the opening and operation of the said account.

I state that without prejudice to the company's rights, other rights in law or under the terms & conditions or otherwise, I shall be liable to pay damages and compensation to the company, which may be incurred or suffered by the company upon the company opening the said account as requested by me relying on my aforesaid representation.

Thanking you
Yours faithfully

Signature

Client Name

Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION FOR LIEN & SET-OFF

Client Code Date : - -

Name

To Address

RR Equity Brokers Pvt. Ltd.

[Member of the Bombay Stock Exchange Ltd. (BSE)]

[Member of the National Stock Exchange of India Limited (NSE)]

[Member of the MCX Stock Exchange Limited (MCX-SX)]

[Member of the United Stock Exchange of India Ltd. (USE)]

[Member of the National Stock Exchange of India Ltd. Currency Futures (NSE-Currency Futures)]

47 M M ROAD, Rani Jhansi Marg, Jhandewalan, New Delhi 110055

RR Commodity Brokers Pvt. Ltd.

[Member of the Multi Commodity Exchange of India Limited (MCX)

National Commodity & Derivatives Exchange Limited (NCDEX)]

National Spot Exchange of India Limited (NSEL)]

47 M M ROAD, Rani Jhansi Marg, Jhandewalan, New Delhi 110055

(hereinafter referred jointly as RR)

Dear Sir,

Sub : Right to exercise Set-off / Lien

I/We,, an individual / a sole proprietary concern/ a partnership firm / a body corporate/Trust, registered / incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956 or any relevant Act, having my / our residence / registered office at..... (hereinafter referred to as the "Client").

That I/we, am/are a Client of/intend to be a Client of RR Equity Brokers Pvt. Ltd. and/or RR Commodity Brokers Pvt. Ltd. (jointly referred to as RR) and have completed the prescribed necessary account opening formalities with each of the aforesaid company/ies for investing/trading in securities, currency derivatives and/or commodities admitted/permitted for dealing on the respective Exchanges and also for investing/trading in those contracts admitted/permitted for dealing on the Derivatives/Currency Derivatives Market Segment of the respective Exchanges.

That in respect to my/our registration as client with RR, I/we hereby authorise RR to exercise the right to set off the balances in my/our accounts with RR in any segment/exchange with respect to monies, securities, currency derivatives contracts and/or commodities. All monies, securities or other property, which RR may hold on my/our account, shall be held subject to a general lien for the discharge of my/our obligations to RR under the broker-client relationship. The right of lien and set-off conferred to RR by me/us are as follows:

1. All securities in the demat account opened (if any) with the depository Participant shall be subject to lien for the discharge of any or all payments due to RR from me/us or any other obligations to RR and may be held by RR as a security against default by me/us in respect of the services already availed of by me/us from RR.
2. The enforcement of the lien aforementioned shall be at the sole and complete discretion of RR.
3. I/We agree that RR shall have the right of set-off amongst all trading account/(s) maintained by me/us with RR.
4. The right to set-off as aforesaid shall extend to my /our trading accounts with respect to all broking transactions with associated concerns, affiliates or sister concerns of RR as though such accounts are maintained with RR.

Furthermore, the aforesaid lien/set-off conferred on RR shall subsist even after the termination of the aforesaid relationship as client with RR until all obligations under the said broker-client relationship are satisfied fully by me/us. The said right of lien/ set-off shall be exercised by RR jointly and/or, severally by each of the aforesaid companies.

Thanking you,

Yours faithfully,

Signature

Client Name

Date - -



DECLARATION FOR DELIVERING TRADE CONFIRMATIONS VIA SMS

To,
 RR Equity Brokers Pvt. Ltd.
 Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I/We hereby agree and give my/our consent for sending the trade confirmations via SMS and I/We have also understood that we will not receive the telephonic trade confirmations.

For this purpose, I/We would like to confirm following details for the database maintained with you. Please update the records with the same.

MOBILE No. + 9 1

Thanking you,

Yours faithfully,

Signature  Client Name
 Date

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

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

CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/s ABC LTD. HELD ON _____ DAY _____ OF _____ 20 ____ AT REGISTERED OFFICE OF THE COMPANY.

“RESOLVED THAT a trading account in the name of M/s ABC Ltd. be opened with RR Equity Brokers Pvt. Ltd., a company registered under the Companies Act, 1956 and a member of the National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE) and MCX Stock Exchange Ltd. (MCX-SX) having its registered office at 133A, 13th Floor, Mittal Towers, Nariman Point, Mumbai-400 021, for the purpose of dealing in Capital Market segment, Futures and Options segment or any other segment that may be introduced by NSE/BSE/MCX-SX.

“RESOLVED FURTHER THAT Mr. X, director of the Company whose specimen signatures are attested below be and is hereby authorized on behalf of the company to complete Client Registration form, execute Member client Agreement and all other documents as may be deemed expedient to open and maintain trading account with RR Equity Brokers Pvt. Ltd. and give effect to this resolution Mr. X is authorized to sell, purchase, transfer, endorse and/or otherwise deal through RR Equity Brokers Pvt. Ltd.

“RESOLVED FURTHER THAT this resolution be communicated to the RR Equity Brokers Pvt. Ltd. and remain in force until notice in writing be given to the RR Equity Brokers Pvt. Ltd.”

For ABC Ltd.

Specimen Signatures of the Authorized person		
Sr. No.	Name	Specimen Signatures
1.		
2.		

Chairman/Director



DECLARATION BY MEMBER OF HUF

To, FOR TRADING & DP ACCOUNT Date |_| - |_| - |_|_|_|

RR Equity Brokers Pvt. Ltd.

Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

As our HUF firm wishes to open an account with you in the said name

we beg to say that the first signatory to this letter, i.e.,

is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the NSE/BSE/MCX-SX/USE/CDSL from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners. In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act. We hereby undertake to inform the NSE/BSE/MCX-SX/USE/DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Signature Client Name

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

Name & Signature of Adult Co-parceners (Use Annexure of Additional Members)

Sl. No.	Name	Signature
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>

Name & Date of Birth of Minor - Co-parceners

Sl. No.	Name	Date of Birth
1.	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>

DECLARATION BY SOLE PROPRIETOR

(To be Obtained on Pre-Printed Letter Head of the Firm) Date |_| - |_| - |_|_|_|

To, RR Equity Brokers Pvt. Ltd.

Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055 Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

I refer to the trading account opened with you in the name of _____ and declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. _____ with the depository _____ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer (s) to/from the above mentioned account. I recognize and accept transfer made by you to the aforesaid beneficiary account as completion of obligations by you in respect of trade executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advice you in writing of any change that take place in the constitution of the firm and will be personally liable to you for all the obligation that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

*The cheques/DDs (electronic/physical) shall be issued by me from my individual account with any bank and the amounts so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s . _____ with your company.

Thanking you,

Yours faithfully,

Signature Client Name



DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

We refer to the trading account being opened / opened with you in the name of
and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per
applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer
obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No.
..... with depository opened
as a joint account in the names of partners of the firm.

We agree that the obligations for shares purchased and / or sold by the firm will be handled and completed through transfer to / from the
above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of
obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize, partner in the firm to execute / sign and submit such
documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with RR Equity Brokers
Pvt. Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may
be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family
accounts.

Table with 2 columns: Name of Partners (in BLOCK LETTERS), Signature

FORMAT OF NOC LETTER TO BE SUBMITTED BY BROKER'S / EXCHANGE'S EMPLOYEE

To,
RR Equity Brokers Pvt. Ltd.
Corp. Office : 47, M.M. Road, Rani Jhansi Marg, New Delhi-110055
Tel.: +91-11-23636363-62 Fax : +91-11-23636743

Dear Sir,

This is to state that S/o/D/o

R/o.....

..... is employee with this company and we

have no objection if the said person opens an account for trading purpose with your company.

Thanking you,

Yours faithfully,

Signature [] Client Name []

Date [] - [] - []



RR EQUITY BROKERS PVT. LTD. Serial No.

DEPOSITORY DIVISION

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING)MANDATE FORM

- 1. D.P. A/c. No.
2. Name :
3. Bank Name :
a) Branch Name :
b) 9-Digit MICR Code* :
c) Account Type [] S.B.A/c.(Code 10) [] Current A/c (Code 11) [] Cash Credit (Code 13)
D) Ledger No./Folio No.
Account No.

*Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled cheque Issued by your bank for verifying the accuracy of the Code Number) I, hereby, declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : Signature of the applicant(s)
BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed). Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : Signature of the Authorised Bank Official

(Please Tear Here)



RR EQUITY BROKERS PVT. LTD. Serial No.

DEPOSITORY DIVISION

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING)MANDATE FORM

- 1. D.P. A/c. No.
2. Name :
3. Bank Name :
a) Branch Name :
b) 9-Digit MICR Code* :
c) Account Type [] S.B.A/c.(Code 10) [] Current A/c (Code 11) [] Cash Credit (Code 13)
D) Ledger No./Folio No.
Account No.

*Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a blank cancelled cheque Issued by your bank for verifying the accuracy of the Code Number) I, hereby, declare that the particulars given above are correct and complete. If the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : Signature of the applicant(s)
BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed). Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : Signature of the Authorised Bank Official

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

To,
The Branch Manager

Dear Sir,

I/We residing at

maintain a Account No. with your branch.

I/We hereby authorised the Bank to debit all types of commission / fees ('Service Charges') payable by me / us and charged by RR Equity Brokers Pvt. Ltd. through the ECS (Debit Clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED at (Place), this (day), of (month), (Year)

Signature Name

Signature Name

Signature Name

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)

AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

To,
The Branch Manager

Dear Sir,

I/We residing at

maintain a Account No. with your branch.

I/We hereby authorised the Bank to debit all types of commission / fees ('Service Charges') payable by me / us and charged by RR Equity Brokers Pvt. Ltd. through the ECS (Debit Clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED at (Place), this (day), of (month), (Year)

Signature Name

Signature Name

Signature Name

(A/c holder's Signature should be the same as in bank A/c. In case of joint account both the holder must sign the mandate form)





CHECKLIST OF DOCUMENTS TO BE SUBMITTED ALONG WITH THE FORM

A. Proof of Identity (POI): -List of documents admissible as Proof of Identity:

- PAN card with photograph/Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license. Important: Copy of PAN card is mandatory. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public
- Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

B. Proof of Address (POA): -List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

C. ADDITIONAL DOCUMENTS in case of trading in derivatives segments - illustrative list:

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

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

D. BANK PROOF

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

E. DEMAT ACCOUNT PROOF

- Demat master or recent holding statement issued by DP bearing name of the client.

F. SPECIFIC INSTRUCTIONS FOR HUF

- The Depository Account cannot be opened in joint names.
- The Depository account shall be opened in the name of Karta under HUF category, however PAN & Bank details of HUF to be mentioned
- Please submit duly signed declaration with the names and signatures of all the co-parceners on letter head of HUF as per format given on page no

G. SPECIFIC INSTRUCTIONS FOR PARTNERSHIP FIRM

- The depository account to be opened in the name of partner(s) under individual capacity in case of partnership firm, however PAN & Bank details of FIRM to be mentioned
- Please provide a clear photocopy of the PAN Card of the Partner(s) in whose names depository account is to be opened.
- Please provide a certified true copy of the Partnership deed.
- Please submit duly signed declaration with the names and signatures of all partners on letter head of Partnership Firm as per format given on Page no.

H. SPECIFIC INSTRUCTIONS FOR CORPORATE

- Copy of the balance sheets for the last 2 financial years (to be submitted every year).
- Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
- Copies of the Memorandum and Articles of Association and certificate of incorporation.
- Copy of the Board Resolution for investment in securities market.
- Authorised signatories list with specimen signatures.

Please provide an initial cheque in favour of "RR Equity Brokers Pvt. Ltd." towards accounts opening charges, platform charges, subscription amount & margin amount whichever applicable

- Note : 1. Complete document to be signed by person himself/herself not to be signed by her/his attorney / authorised person. 2. Trading in currency derivatives allowed only to resident clients.
3. All supporting documents should be Self-Attested by client. 4. Please strike off the boxes or space, which are not applicable.

FOR OFFICE USE ONLY

Branch Code										
Depository	<input type="checkbox"/> Normal	<input type="checkbox"/> Bandhan								
Client Code Allotted	Equity	Depository								
Initial Cheque Details										
Cheque No.		Dated	dd / mm / yyyy	Amount						
Drawn on										
	Name		Employee / Introducer Code			Signature				
Introducer										
RM										
Dealer										



Delhi / NCR Branches

Head Office	: 011-23508751/752/756,47, MM Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055
Jhandewalan	: 011-23636363/62,47, MM Road, Rani Jhansi Marg, Jhandewalan, New Delhi-110055
Noida	: 0120-4601230,P-5, UGF, Ocean Plaza, Sector-18, Noida-201301
Connaught Place	: 011-23353768,N-24 Middle Circle Connaught Place-110001
Ghaziabad	: 0120-2823939,114,Satyam Ansal Complex RDC Raj Nagar Gaziabad-201002
Faridabad	: 0129-2427361/367,55 1st Floor, Near Flyover Neelam Chowk, NIIT, Faridabad-121001
Preet Vihar	: 011-42421238/49504400,106 Pankaj Chambers, Preet Vihar Community Center Delhi-110092
Janak Puri	: 011-25617654/41589708,111, Jyotishikar,8 Distt. Center, Janakpuri, New Delhi-110058
Rajendra Place	: 011-25764872/49503300,118 Gagandeep Building 1st Floor Rajendra Place, New Delhi-110008
Pitam Pura	: 011-27311419,Shop No. 24, FD Market, Nr. Madhuban Chowk, Pitam Pura, Delhi-110034
Vasant Kunj	: 26891262/26134767,105, Anchal Plaza, Plot no. 7, Sec-8, Nelsol Mondela Road, Vasantkunj, New Delhi-110070
ITO	: 011-41509018/49505500,105 Pratap Bhawan, Bahadur Shah Zafar Marg, New Delhi-110002

Regional Branches

Chandigarh	: 0172-2624896/4796,SCO 222-223, Ground Floor, Sector 34-A, Chandigarh-160034
Jaipur	: 0141-4023328/3235456/5113317,7 Katewa Bhawan Opp Ganpati Plaza, M.I. Road Jaipur-302001
Ahmedabad	: 079-26404241/26467260, 401, Abhijeet Building, Mithakhali Six Road, Navrangpura, Ahmedabad - 380009
Bangalore	: 080-42477112/113/114,S 111, Manipal Centre, 47 Deckinson Road, Bangalore-560042
Vadodara	: 0265-2353195/3095,222, Siddharth Complex, 2nd Floor RC Dutt Road, Alkapuri, Vadodara-390007
Dehradun	: 0135-3258181/2740154,56 Rajpur Road Opp. Madhuban Dehradun-248001
Lucknow	: 0522-4057620/12,G-32, Shriram Tower, 13-A, Ashok Marg, Lucknow-226001
Mumbai	: 022-22886627/28,133A, Mittal Towers,A Wing, 13th Floor, Nariman Point, Mumbai-400021
Mumbai-Fort	: 022-40544201/22642688,Room No. 18,First Floor, 105, Apollo Street, Opp.Bharat House, Mumbai Samachar Marg, Fort Mumbai-400023
Kolkata	: 033-40174802/22802963,704, Krishna Building, 224 AJC Bose Road, Beckbagan more, Kolkata-700017
Chennai	: 044-42077370/371, 3rd Floor, Precision Plaza, New # 397, Teynampet, Anna Salai Chennai-600018

AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT [entity registered as Depository Participant of Central Depository Services (India) Limited ("CDSL") AND THE BO (person seeking to open a depository account with the depository participant) FOR THE PURPOSE OF HOLDING AND TRANSACTING IN ELECTRONIC WAREHOUSE RECEIPTS.

This agreement made and entered into this _____ day of _____ between _____ situated at _____ (hereinafter called the "BO") and _____ situated at _____ having its registered office at _____ (hereinafter called the "Depository Participant" or "DP").

Witnesseth

WHEREAS the Depository Participant is registered as a participant in the National Securities Depository Ltd. ("CDSL"), WHEREAS the BO has furnished to the Depository Participant the duly filled in application form as prescribed by CDSL requesting therein the Depository Participant to open an account with the Depository Participant; and Depository Participant has represented to the BO that it has set up a facility to extend depository services offered by CDSL to warehouse receipts. NOW THEREFORE in consideration of the Depository Participant having agreed to open an account for the BO, both the parties to the agreement hereby covenant and agree as follows:

- 1) The BO shall pay such charges to the Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the BO and for rendering such other services as may be agreed to from time to time between the Depository Participant and the BO as set out in Schedule A. The Depository Participant shall reserve the right to revise the charges by giving not less than thirty days notice in writing to the BO. Depository Participant shall not levy account closure charges if BO chooses to close the account. The BO agrees and confirms that the Depository Participant is fully authorized to collect warehouse charges/charges of R & T and/or any other charges or expenses that may be claimed/demanded by the Exchange / Warehouse from the BO through the Depository Participant. The BO further agrees and undertakes to pay without protest and demur, such warehouse charges, charges of R & T and/or any other charges or expenses that may be claimed/demanded by Exchange / Warehouse from the BO through the Depository Participant, immediately on demand made by SHCIL.
- 2) The Depository Participant hereby undertakes that it shall maintain a separate account of its own warehouse receipts, if any, held in dematerialised form and shall not co-mingle the same with the warehouse receipts held in dematerialised form by the BO. 3) The Depository Participant undertakes that a transfer to and from the accounts of the BO shall be made only on the basis of a written order, instruction, direction or mandate duly authorised by the BO and that the Depository Participant shall maintain adequate audit trail of such authorization.
- 4) The Depository Participant agrees that the BO may give written standing instructions with regard to the debiting or crediting of electronic warehouse receipts in its account and the Depository Participant shall act according to such instructions.
- 5) The Depository Participant undertakes to provide a transaction statement to the BO atleast at monthly intervals unless the Depository Participant and the BO have agreed in writing for provision of such statements at shorter intervals.

However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the BO atleast once a quarter.

- 6) The Depository Participant undertakes to resolve all legitimate grievances of the BO against the Depository Participant within a period of thirty days.
- 7) The BO agrees to operate this beneficial owner account for the sole purpose of holding and transacting in electronic warehouse receipts and shall be solely responsible for costs and consequences of receiving credit of any other securities into this account in the event of such credit being made owing to instructions issued by the BO. The DP may levy special charges to transfer such securities out of this account, in addition to the charges listed in schedule 'A'. However, if the BO gets any erroneous credit of securities/WRs in this account, he will assist the DP in restoring the securities into the account from which the securities were received in the BOs account at no cost to the BO.
- 8) The BO may seek delivery of the commodity represented by electronic warehouse receipt from the warehouse that has issued the electronic warehouse receipt. The BO acknowledges that neither the Depository Participant nor CDSL shall be responsible for delivery of the commodities against the electronic warehouse receipts, whether on grounds of quantity, quality, timeliness of delivery or otherwise. The BO hereby indemnifies and agrees to keep indemnified and hold the Depository Participant and CDSL harmless from and against any loss, claim, damage, injury or other cost and expense relating to delivery of the commodity underlying the warehouse receipt.
- 9) The charges related to the warehousing service shall be settled in accordance with the arrangement agreed to by the BO, Depository Participant and warehouse without any recourse to CDSL.
- 10) On the failure of the BO to pay the charges for provision of services by the DP as laid out in clause (1) of this agreement within a period of fifteen days from the date of demand, Depository Participant may terminate this agreement and close the account of the BO by requiring it to specify whether the balances in its account be transferred to the account of the BO held with another Depository Participant or send a delivery advise to related warehouse.
- 11) The BO further agrees that in the event of the BO committing a default in the payment of any of the amounts due and owing to the DP in terms of this Agreement within a period of fifteen days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the BO, the Depository Participant may charge interest at a rate not exceeding 15%. In case the BO has failed to make the payment of any such amount, the Depository Participant

shall have the right to discontinue the Depository services till such time he makes the payment along with interest, if any, after giving two days notice to the BO. If the BO does not make the payment for more than two months, Depository participant may sell the commodities represented by the warehouse receipts to recover the amount due to it after giving 7 days notice to the BO. The DP shall be deemed to have always had a first charge and lien over the warehouse receipts in the account of the BO towards recovery of amounts due under this Agreement. In such cases, the Depository Participant shall deduct its charges along with the charges paid / to be paid to the Exchange / Warehouse on such default account and remit the balance amount to the BO.

- 12) The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the BO. In such an event, the BO shall specify whether the balances in its account should be transferred to another account of the BO held with another Depository Participant or it will seek delivery of commodities against the electronic warehouse receipts held. Based on the instructions of the BO, the Depository Participant shall initiate the procedure for transferring such electronic warehouse receipts or send a delivery advice against electronic warehouse receipts within a period of three days. The BO shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party accruing prior to termination and shall continue to bind the parties to their satisfactory completion.
- 13) In the event of Depository Participant being suspended or terminated by CDSL/SEBI, Depository Participant/CDSL may give a notice of not less than 30 days of such suspension/termination to the BO. In such an event, the BO shall specify whether the balances in its account should be transferred to another account of the BO held with another Depository Participant or if it will seek delivery of commodities against the electronic warehouse receipts held. Based on the instructions of the BO, the Depository Participant shall initiate the procedure for transferring such electronic warehouse receipts or send a delivery advise against electronic warehouse receipts within a period of three days.
- 14) The BO shall have the right to create a pledge of the

electronic warehouse receipts held in the dematerialised form. The BO may exercise the right to freeze his account maintained with the Depository Participant so as to lock the electronic warehouse receipts held with the Depository Participant. The BO may exercise the right to un-freeze his account maintained with the Depository Participant. Such freezing and un-freezing of the account shall be in accordance with the procedure prescribed in this regard by CDSL. The BO shall withdraw / revalidate the commodities upon the expiry date of the commodity.

- 15) The BO shall notify the Depository Participant within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.
- 16) The Depository Participant shall have a right to provide such information related to the BO's account as may be requested by the National Securities Depository Limited from time to time.
- 17) The Depository Participant shall not be liable to the BO in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes and other governmental charges in respect of electronic warehouse receipts credited to BO's account.
- 18) Depository Participant shall discharge all its obligations to the BO as provided herein and clarifications / guidelines issued from time to time., and shall maintain the same standard of service provided such obligations are not in contravention of the terms and conditions of this agreement.
- 19) All claims, differences and disputes between Depository Participants and Bos arising out of or in relation to dealings on the CDSL Depository including any agreements, contracts and transactions made subject to this agreement or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions, agreements and contracts have been entered into or not, shall be referred to arbitration in accordance to and subject to the provisions of the Arbitration and Conciliation Act, 1996. The arbitration mechanism prescribed under the CDSL Bye-Laws, Rules for disputes between Depository Participant and BOs in securities transactions shall be applicable to disputes between the BO and DP in relation to disputes arising out of and in connection with this Agreement.

IN WITNESS WHEREOF the BO and the Depository Participant has caused these presents to be executed as of the day and year first above written.

Signed and delivery by _____

Witness(For & on behalf of RR Equity Brokers Pvt Limited)

Signature: _____

Name: _____

Address: 47,MM-Road, Rani Jhansi Marg,

Jhandewalan, New Delhi-110055

Witness (For & on behalf of Client)

Signature: _____

Name: _____

Address: _____