

TRADING ACCOUNT OPENING FORM

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QUICK CHECKLIST

<input type="checkbox"/>	Attached copy of passport picture on page 4 and signed across
<input type="checkbox"/>	Signed all areas marked with 'X' and yellow highlight
<input type="checkbox"/>	Photocopy of PAN card and address proof with signature
<input type="checkbox"/>	Photocopy of last 6 months bank statement (should be an active account with sufficient balance) or last year's Income Tax Return (ITR) or last 6 month's salary slip with signature
<input type="checkbox"/>	Cancelled cheque to tie your primary banking account
<input type="checkbox"/>	Account opening fees cheque for Rs. 250 made payable to "RKSV Securities India Pvt. Ltd."
<input type="checkbox"/>	Mailing the forms to 212, Trade Centre, BKC, Bandra (E), Mumbai, MH, 400 051

REGISTERED OFFICE ADDRESS

807, New Delhi House, Barakhamba Road
Connaught Place, New Delhi, 110 011
P: +91-22-6130-9999 / F: +91-22-6710-7492
www.rksv.in / contact@rksv.in

COMPLIANCE OFFICER

Mr. Ravi Kumar

Ph: +91-22-6130-9999

compliance@rksv.in, www.rksv.in

CORRESPONDENCE OFFICE ADDRESS

212, Trade Centre Building
BKC, Bandra (E), Mumbai, MH, 400 051
P: +91-22-6130-9999 / F: +91-22-6710-7492
www.rksv.in / contact@rksv.in

SEBI REGISTRATION NUMBERS

SEBI Regn. No. NSE: INB/ INF/ INE 231394231

SEBI Regn. No. BSE: INB/ INF 011394237

Registration Date: July 23, 2010

CLEARING MEMBER INFORMATION

ISSL Settlement & Transaction Services Limited: INF231133630, INF011133834, INE231308334

For any grievance/ dispute please contact RKSV Securities India Pvt. Ltd. at the above address and/ or email id: complaints@rksv.in and/ or Phone No. +91-22-6130-9999. In case you are not satisfied with the response, please contact the concerned exchange(s) at National Stock Exchange of India Limited at [ignse@nseindia.com and Phone No. +91-22-2659-8190] and Bombay Stock Exchange Limited at [is@bseindia.com and Phone No. +91-22-2272-8097].

INSTRUCTIONS FOR FILLING OUT THIS KYC FORM

SECTION A	IMPORTANT POINTS
<ol style="list-style-type: none"> 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. 	
SECTION B	PROOF OF IDENTITY (POI) - LIST OF DOCUMENTS ADMISSABLE AS PROOF OF IDENTITY
<ol style="list-style-type: none"> 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. 	
SECTION C	PROOF OF ADDRESS (POA) - LIST OF DOCUMENTS ADMISSABLE AS PROOF OF ADDRESS
Documents having an expiry date should be valid on the date of submission	
<ol style="list-style-type: none"> 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 - Cannot be older than 3 months. 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 apostiled or consularised) that gives the registered address should be taken. The proof of address in the name of the spouse may be accepted. 	
SECTION D	EXEMPTIONS / CLARIFICATIONS TO PAN
Sufficient documentary evidence in support of such claims to be collected	
<ol style="list-style-type: none"> 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 up to 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. 	

SECTION E	LIST OF PEOPLE AUTHORISED TO ATTEST THE DOCUMENTS
<ol style="list-style-type: none"> 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. 	
SECTION F	ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST
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.	
<ol style="list-style-type: none"> 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 Self declaration with relevant supporting documents. Any other relevant documents substantiating ownership of Assets. 	
SECTION G	COPY OF CANCELLED CHEQUE LEAF/ PASS BOOK/ BANK STATEMENT
Please ensure the document specifies the name of the constituent, MICR Code and/or IFSC code of the bank.	
SECTION H	DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF THE CLIENT
For individuals:	
<ol style="list-style-type: none"> Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted. 	

TRADING ACCOUNT RELATED DETAILS

SECTION A	PRIMARY BANKING ACCOUNT			
BANK NAME		BRANCH ADDRESS		
CITY/TOWN/VILLAGE	PIN CODE	STATE	COUNTRY	
ACCOUNT NUMBER		MICR NUMBER		
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVINGS <input type="radio"/> OTHER		IFSC CODE		
SECTION B	SECONDARY BANKING ACCOUNT			
BANK NAME		BRANCH ADDRESS		
CITY/TOWN/VILLAGE	PIN CODE	STATE	COUNTRY	
ACCOUNT NUMBER		MICR NUMBER		
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVINGS <input type="radio"/> OTHER		IFSC CODE		
SECTION C	PRIMARY DEPOSITORY ACCOUNT			
DEPOSITORY PARTICIPANT NAME		DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID	
BENEFICIARY NAME		BENEFICIARY ID (BO ID)		
SECTION D	SECONDARY DEPOSITORY ACCOUNT			
DEPOSITORY PARTICIPANT NAME		DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID	
BENEFICIARY NAME		BENEFICIARY ID (BO ID)		
SECTION E	TRADING PREFERENCES			
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.				
<input type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE CASH SEGMENT		CLIENT'S SIGNATURE [3A] X		
<input type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE F&O SEGMENT		CLIENT'S SIGNATURE [3B] X		
<input type="checkbox"/> I WOULD LIKE TO TRADE ON THE BSE CASH SEGMENT		CLIENT'S SIGNATURE [3C] X		
<input type="checkbox"/> I WOULD LIKE TO TRADE ON THE NSE CDS SEGMENT		CLIENT'S SIGNATURE [3D] X		
SECTION F	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				
SECTION G	DEALINGS THROUGH SUB BROKERS AND OTHER STOCK BROKERS			
IF CLIENT IS DEALING THROUGH A SUB BROKER, PLEASE PROVIDE THE FOLLOWING DETAILS				
SUB BROKER NAME		SEBI REGISTRATION NUMBER	WEBSITE	
REGISTERED OFFICE ADDRESS		CITY		
STATE	COUNTRY	TEL	FAX	

IF DEALING WITH ANY OTHER STOCK BROKER/SUB BROKER (IN CASE DEALING WITH MULTIPLE STOCK BROKERS/SUB BROKERS, PROVIDE DETAILS OF ALL)		
STOCK BROKER NAME	SUB BROKER NAME	CLIENT CODE
EXCHANGE	DETAILS OF DISPUTE / DUE SPENDING FROM / TO SUCH STOCK BROKER / SUB BROKER	
SECTION H	ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES <input type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE		EMAIL ADDRESS
<input type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTER-NET TRADING / WIRELESS TECHNOLOGY		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		ANY OTHER INFORMATION
SECTION I	INTRODUCER DETAILS	
NAME OF THE INTRODUCER		RELATIONSHIP WITH THE INTRODUCER
INTRODUCER'S STATUS <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER <input type="radio"/> OTHERS, PLEASE SPECIFY _____		
INTRODUCER'S ADDRESS		
INTRODUCER'S PHONE NUMBER	INTRODUCER'S CLIENT ID	INTRODUCER'S SIGNATURE
SECTION J	NOMINATION DETAILS (FOR INDIVIDUALS ONLY)	
<input type="radio"/> I WISH TO NOMINATE THE FOLLOWING PERSON <input type="radio"/> I DO NOT WISH TO HAVE A NOMINEE		
NOMINEE'S NAME		RELATIONSHIP WITH THE NOMINEE
NOMINEE'S ADDRESS		
NOMINEE'S PHONE NUMBER	NOMINEE'S PAN CARD NUMBER <div style="border-bottom: 1px solid black; width: 100%; height: 1.2em; margin-top: 2px;"></div>	NOMINEE'S DATE OF BIRTH (DD/MM/YYYY) <div style="border-bottom: 1px solid black; width: 100%; height: 1.2em; margin-top: 2px;"></div>
IF NOMINEE IS A MINOR, PLEASE PROVIDE DETAILS OF HIS/HER GUARDIAN		
GUARDIAN'S NAME	GUARDIAN'S ADDRESS	
GUARDIAN'S PHONE NUMBER	GUARDIAN'S SIGNATURE	
TWO WITNESSES ARE REQUIRED TO ATTEST IF YOU WANT TO NOMINATE A PERSON		
PRIMARY WITNESS' NAME	PRIMARY WITNESS' ADDRESS	
PRIMARY WITNESS' PHONE NUMBER	PRIMARY WITNESS' SIGNATURE	
SECONDARY WITNESS' NAME	SECONDARY WITNESS' ADDRESS	
SECONDARY WITNESS' PHONE NUMBER	SECONDARY WITNESS' SIGNATURE	
PLEASE SIGN BELOW ATTESTING TO ALL THE INFORMATION ON THIS PAGE		
CLIENT'S NAME		
CLIENT'S SIGNATURE [4] <div style="border-bottom: 1px solid black; width: 100%; height: 1.2em; margin-top: 2px;"></div>		DATE (DD/MM/YYYY) <div style="border-bottom: 1px solid black; width: 100%; height: 1.2em; margin-top: 2px;"></div>

DECLARATION

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

CLIENT'S NAME	PLACE
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CLIENT'S SIGNATURE [5] <div style="text-align: center; font-size: 1.5em; margin-top: 10px;">X</div>	DATE (DD/MM/YYYY) <div style="text-align: center; margin-top: 10px;"> <div style="display: flex; justify-content: space-around; width: 100px;"> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px;"></div> </div> </div>
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FOR OFFICE USE ONLY

CLIENT'S UCC CODE

VERIFICATION OF DOCUMENTS

DOCUMENTS VERIFIED BY	EMPLOYEE CODE	EMPLOYEE DESIGNATION
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EMPLOYEE SIGNATURE	ON DATE (DD/MM/YYYY)
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CLIENT INTERVIEW

CLIENT INTERVIEWED BY	EMPLOYEE CODE	EMPLOYEE DESIGNATION
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EMPLOYEE SIGNATURE	ON DATE (DD/MM/YYYY)
--------------------	----------------------

IN-PERSON VERIFICATION (IPV)

IPV PERFORMED BY	EMPLOYEE CODE	EMPLOYEE DESIGNATION
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EMPLOYEE SIGNATURE	ON DATE (DD/MM/YYYY)
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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.	SEAL/STAMP OF THE INTERMEDI-ARY
EMPLOYEE SIGNATURE	DATE (DD/MM/YYYY)

TARIFF SHEET

To RKSVM Securities, 212, Trade Centre, BKC, Bandra (E), Mumbai, MH, 400 051

Sub Request for subscription to the RKSVM Freedom Plan and / or the RKSVM Currency 999 Plan and/or RKSVM Dream Plan

Dear Sir or Madam,

I would like to subscribe to the RKSVM Securities India Pvt. Ltd plans and request RKSVM Securities India Pvt. Ltd. to apply any applicable monthly subscription tariff as per the terms and conditions of RKSVM Securities India Pvt. Ltd. Freedom Plan and/or the RKSVM Currency 999 Plan.

I hereby authorize RKSVM Securities India Pvt. Ltd. to debit my ledger for the subscription amount as per terms and conditions of RKSVM Securities India Pvt. Ltd. Freedom Plan or Currency 999 Plan if I choose to subscribe to either plan

THE RKSVM DREAM PLAN

For no monthly fees, you will be allowed to trade NSE F&O, NSE CDS at Rs. 25 per order traded (or 0.01% whichever is lower for Futures). For BSE Cash Intraday and NSE Cash Intraday you can trade at Rs. 25 per order traded or 0.01% whichever is lower. For BSE Cash Delivery and NSE Cash Delivery you can trade at Rs. 25 per order traded or 0.10% whichever is lower.

THE RKSVM FREEDOM PLAN

Provided for a monthly fee of Rs. 1,947 only. You can do unlimited trading across NSE Cash, BSE Cash, and NSE F&O segments.

THE RKSVM CURRENCY 999 PLAN

Provided for a monthly fee of Rs. 999 only. You can do unlimited trading across NSE Currency Derivatives segment.

STATUTORY CHARGES

In addition to the above monthly subscription charges, the following statutory charges will also be levied:

Securities Transaction Tax

Stamp Duty

Transaction Charges

Education and Higher Education Cess

Service Tax

SEBI Turnover Fees

Electronic Contract Notes are free. Physical Contract note copies are charged at Rs. 25 per contract note.

Call and Trade charges at Rs. 25 per order.

Depository Participant charges as levied by IL&FS.

Terms and Conditions can be subject to change.

The terms and conditions of the RKSVM Securities India Pvt. Ltd. plans has been read and understood by me. I wish to avail the plans below provided by RKSVM Securities India Pvt. Ltd. for my trading account subject to the terms and conditions mentioned above.

I declare that I have read and understood the terms and conditions governing the RKSVM Securities India Pvt. Ltd. Dream Plan, Freedom Plan and the Currency 999 Plan and shall agree and abide by the same.

FOR NSE F&O, NSE CM, BSE CM - PLEASE SELECT ONLY ONE

☐ I WOULD LIKE TO ENROLL ON THE UNLIMITED TRADING, ZERO BROKERAGE FREEDOM PLAN

☐ I WOULD LIKE TO ENROLL ON THE PAY PER ORDER TRADED DREAM PLAN

FOR NSE CURRENCY DERIVATIVES - PLEASE SELECT ONLY ONE

☐ I WOULD LIKE TO ENROLL ON THE UNLIMITED TRADING, ZERO BROKERAGE CURRENCY 999 PLAN

☐ I WOULD LIKE TO ENROLL ON THE PAY PER ORDER TRADED DREAM PLAN

Yours faithfully,

CLIENT'S NAME

CLIENT'S SIGNATURE [6]

X

DATE (DD/MM/YYYY)

| | | | | | | | | |

FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER

ACKNOWLEDGEMENT

To RKS SV Securities
212, Trade Centre
BKC, Bandra (E)
Mumbai, MH, 400 051

Dear Sir or Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. The RKS SV Securities Freedom Plan Tariff Sheet.
6. General Terms and Conditions governing securities trading and broking services of RKS SV Securities India Pvt. Ltd.

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will.

I state that I have read and understood all above documents and these documents are binding upon me.

Yours faithfully,

CLIENT'S NAME

CLIENT'S SIGNATURE [7]

X

DATE (DD/MM/YYYY)

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AUTHORIZATION FOR RUNNING ACCOUNT

To RKSV Securities
212, Trade Centre
BKC, Bandra (E)
Mumbai, MH, 400 051

I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a RKSV Securities India Pvt. Ltd. client code as mentioned below.

I am aware that payout / dividend received / credited from the exchange(s) against settlement of transaction as per settlement cycle is available within 1 working day of the payout from the Exchange. It is difficult for me to make available the required funds on every pay-in of funds obligation / margin obligation, hence I request you to maintain my account on a running basis and retain the payout received / credit balance in my account for my future obligation / margin obligation or other liabilities unless I instruct otherwise.

I hereby further authorize you to debit / credit / transfer the amounts between the various segments either on the same Exchange and / or Exchanges to meet my/our obligation or various dues payable to you / Exchange(s).

If payment of funds is required, I shall request you in writing or through the web option for funds withdrawal on the web login. Further it may be noted that if required I may revoke this authorization at any time after giving request in writing.

This running account authorization would continue until it is revoked by me. The actual settlement of funds shall be done at least once in the preference period selected below:

☐ **QUARTERLY**

☐ **MONTHLY**

While settling the account having outstanding obligations on the settlement date, you may retain the requisite 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.

I shall bring any dispute arising from the statement of account or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be. In case of non-receipt of any such communication the statement / settlement of running account shall be considered as final as agreed and accepted by me.

Yours faithfully,

CLIENT'S NAME	
CLIENT'S SIGNATURE [8] <u>X</u>	DATE (DD/MM/YYYY) _ _ _ _ _ _ _ _ _

LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

To RKSX Securities
212, Trade Centre
BKC, Bandra (E)
Mumbai, MH, 400 051

Sub Authorization for Electronic Contract Notes

I have been/shall be dealing through you as my broker on the Capital Market and/or Futures & Options and/or Currency Derivatives and/or Interest Rate Futures Segments. As my broker i.e. agent I direct and authorize you to carry out trading/dealings on my behalf as per instructions given below.

I understand that, I have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I hereby opt to receive contract notes in electronic form. I understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account /email id on your record for sending the contract notes to me:

EMAIL ADDRESS

I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account / email id.

I agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me and such dispatch shall be deemed to mean receipt by me and shall not be disputed by me on account of any non-receipt/delayed receipt for any reason whatsoever.

I understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I am an internet client then in that event the request for change in email id/email account can be made by me through a secured access using client specific user id and password. Please treat this authorization as written ratification of my verbal directions/authorizations given and carried out by you earlier. I shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my directions given above.

I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.

Yours faithfully,

CLIENT'S NAME	
CLIENT'S SIGNATURE [9] X	DATE (DD/MM/YYYY) _ _ _ _ _ _ _ _ _ _

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 whatsoever 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.

CLIENT'S NAME	
CLIENT'S SIGNATURE [10] <div style="text-align: center; font-size: 24px; margin-top: 10px;">X</div>	DATE (DD/MM/YYYY) <div style="text-align: center; font-family: monospace; font-size: 18px;"> </div>
AUTHORIZATION FOR ACCOUNT MODIFICATION	
If I/we were to add/modify/remove any of my detail including brokerage plans with RKSV Securities India Pvt. Ltd, I/we authorize you to carry it out based on my request sent through an email to support@rksv.in from my registered email address or intimation through an interface provided by you, whereto I have been allowed secured access.	
If you feel the need to do so, then at your own discretion, you may put in place appropriate mechanism to confirm the request before or after its execution by way of a call from a recorded line, or otherwise, personal meeting, SMS or other such other mode as you may deem fit.	
CLIENT'S NAME	
CLIENT'S SIGNATURE [11] <div style="text-align: center; font-size: 24px; margin-top: 10px;">X</div>	DATE (DD/MM/YYYY) <div style="text-align: center; font-family: monospace; font-size: 18px;"> </div>

CLIENT REFERRAL PROGRAM

To RKSX Securities
212, Trade Centre
BKC, Bandra (E)
Mumbai, MH, 400 051

Sub Request for appointment as a Client Referrer

Dear Sir or Madam,

I wish to register with you as a client referrer using my registered client code. I intend to introduce other people to you as a client so they can avail your services.

In this regards, I declare as under:

1. I am not a Broker on any Stock Exchange.
2. I am not an employee of any Stock Broker.
3. I am not a Sub Broker, Remisier and/or Authorised Person of any Stock Broker
4. There has not been any action initiated or taken against me by SEBI or any regulatory authority.
5. I will not refer any immediate family members such as parents, siblings, spouse or children.
6. I undertake to inform you immediately in case there is any incident that results in a change in my declaration.

Should I violate any of the above specified terms, I understand that my account and/or some/all of my clients' accounts may be suspended and/or terminated.

I understand that after referring any individual to RKSX, I will email RKSX at **support@rkx.in** with **my name**, and the **Individual's Name** and **Date of Birth** from **my registered email address** with RKSX.

I will also fill out the **Introducer Details** section of the Trading Application Form with my details to confirm that I am the referrer for the new client.

In light of any change to regulatory, exchange, or broker policy, I understand that the referral arrangement is subject to modification at the discretion of the management of the company.

Yours faithfully,

CLIENT'S NAME	
CLIENT'S SIGNATURE X	DATE (DD/MM/YYYY) _ _ _ _ _ _ _ _ _ _
CLIENT ID (LEAVE BLANK IF NEW CUSTOMER)	

If you have any friends who are interested in RKSX, please leave their details below and we will reach out to them. They will be credited to you as the introducing referrer.

Name	Phone Number	Email Address