

## MANDATORY DOCUMENTS

DOCUMENT	SIGNIFICANCE	PAGE(s)
Account Opening Form (FO and Currency)	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.	4-10
Rights and Obligations	Provided to client (consent declaration on Page - 10)	
Risk Disclosure Document (RDD)	Provided to client (consent declaration on Page - 10)	
Guidance Note	Provided to client (consent declaration on Page - 10)	
Policies and Procedures	Provided to client (consent declaration on Page - 10)	
Tariff Sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	11
Authorization for Electronic Contract Notes	Letter of Authorization for Electronic Contract Notes.	12
Authorization of running account / request letter	Letter or authority/request to RKS Securities India Pvt. Ltd.	13

## REGISTERED OFFICE ADDRESS

RKS Securities India Private Limited  
807, New Delhi House, Barakhamba Road  
Connaught Place, New Delhi, 110 011  
Telephone: +91-22-6130-9999  
Fax: +91-22-6710-7492  
Email: contact@upstox.com, www.upstox.com

## CEO / COMPLIANCE OFFICER (BSE/NSE/MCX)

Mr. Ravi Kumar  
Telephone: +91-22-6130-9999  
Email: compliance@upstox.com, www.upstox.com

## COMPLIANCE OFFICER (DP)

Mr. Amit Lalan  
Telephone: +91-22-6130-9999  
Email: compliance@upstox.com, www.upstox.com

## CLEARING MEMBER INFORMATION

RKS Securities India Pvt. Ltd  
ISSL Settlement & Transaction Services Limited: INF231133630, INFO11133834, INE231308334  
CIN: U74900DL2009PTC189166

## CORRESPONDENCE OFFICE ADDRESS

RKS Securities India Private Limited  
Salasar Business Park,  
Off 150 Feet Flyover Road,  
Bhayander West,  
Thane,  
Maharashtra 401101  
Telephone: +91-22-6130-9999  
Fax: +91-22-6710-7492  
Email: contact@upstox.com, www.upstox.com

## SEBI REGISTRATION NUMBERS

SEBI Regn. No. NSE: INB/ INF/ INE 231394231  
SEBI Regn. No. BSE: INB/ INF 011394237  
Registration Date: July 23, 2010  
SEBI Regn. No. DP: IN-DP-118-2015 Registration Date: September 4, 2015

For any grievance/ dispute please contact RKS Securities India Pvt. Ltd. at the above address and/ or email id: complaints@upstox.com 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. 1800-220-058] and Bombay Stock Exchange Limited at [is@bseindia.com and Phone No. +91-22-2272-1234/33, Fax No. +91-22-2272-3677].



## APPLICATION FORM FOR OPENING A TRADING ACCOUNT

### For entities other than Individuals

**Registered Office:** 807, New Delhi House, Barakhamba Road, Connaught Place, New Delhi, 110 011

**Correspondence Office:** 30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar (W), Mumbai - 400 013

Telephone: +91-22-6130-9999 | Fax: +91-22-6710-7492 | Email: contact@upstox.com, www.upstox.com

**DEPOSITORY PARTICIPANT OF CENTRAL DEPOSITORY SERVICES (I) LTD.**

SEBI REGN. NO. IN-DP-118-2015

### QUICK CHECKLIST

**(A) IMPORTANT POINTS:**

1. 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.
2. 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. 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.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.
10. 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.
11. Only relevant supporting are required to be submitted, any additional details / documents may be retained by the intermediary.

**(B) PROOF OF IDENTITY (POI): - LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:**

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. 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.)

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 2 months old.
3. Bank Account Statement / Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazette Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. 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.
7. 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.
8. 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.)

1. 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.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.

5. 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:**

1. 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).
2. 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"> <li>- Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>- 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).</li> <li>- Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>- Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>- Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>- Copy of the Board Resolution for investment in securities market.</li> <li>- Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>- Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>- Certificate of registration (for registered partnership firms only).</li> <li>- Copy of partnership deed.</li> <li>- Authorised signatories list with specimen signatures.</li> <li>- Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>- Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>- Certificate of registration (for registered trust only).</li> <li>- Copy of Trust deed.</li> <li>- List of trustees certified by managing trustees/CA.</li> <li>- Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>- PAN of HUF.</li> <li>- Deed of declaration of HUF/ List of coparceners.</li> <li>- Bank pass-book/bank statement in the name of HUF.</li> <li>- Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> <li>- Proof of Existence/Constitution document.</li> <li>- Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>- Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>- Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>- Copy of SEBI registration certificate.</li> <li>- Authorized signatories list with specimen signatures.</li> </ul>
Army/ Government Bodies	<ul style="list-style-type: none"> <li>- Self-certification on letterhead.</li> <li>- Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>- Copy of Registration Certificate under Societies Registration Act.</li> <li>- List of Managing Committee members.</li> <li>- Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>- True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

## Know Your Client (KYC) Application Form (For Non - Individuals Only)

Please fill type the form in English and BLOCK letters. **Sign all areas marked with 'x'.**

Once completed, please mail the completed form along with the necessary proofs to our corporate office in Mumbai.

Application No.:

### A. Identity Details (please see guidelines)

FULL NAME (Please write complete name as per Certificate of Incorporation/Registration. Leave space between words. Please do not abbreviate the Name):

DATE OF INCORPORATION (dd/mm/yyyy):  PLACE OF INCORPORATION:

REGISTRATION NO. (e.g. CIN):  DATE OF COMMENCEMENT OF BUSINESS  d  d  m  m  y  y  y  y

STATUS (Please Tick ✓)  PRIVATE LTD. CO  PUBLIC LTD. CO.  BODY CORPORATE  PARTNERSHIP  TRUST / CHARITIES / NGOS  HUF  
 FI  FII  FPI CATEGORY I  FPI CATEGORY II  FPI CATEGORY III  BANK  GOVERNMENT BODY  NON GOVERNMENT ORGANISATION  
 DEFENCE ESTABLISHMENT  BODY OF INDIVIDUALS  SOCIETY  LLP  AOP  OTHERS (Please specify) \_\_\_\_\_

PERMANENT ACCOUNT NUMBER (PAN)  (Please enclose a duly attested copy of your PAN Card)

### B. Address Details (Please see guidelines overleaf)

ADDRESS FOR CORRESPONDENCE:

CITY/TOWN/VILLAGE:	PIN CODE <input type="text"/>	STATE:
		COUNTRY:

TEL (OFF):	TEL (RES):
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MOBILE:	FAX:
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EMAIL ADDRESS:

PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT **ANY ONE** OF THE FOLLOWING VALID DOCUMENTS & **TICK** (✓) AGAINST THE DOCUMENT ATTACHED  
 \*LATEST TELEPHONE BILL (Only landline)  \*LATEST ELECTRICITY BILL  \*LATEST BANK ACCOUNT STATEMENT  REGISTERED LEASE / SALE  
 AGREEMENT OF OFFICE PREMISES  ANY OTHER PROOF OF ADDRESS DOCUMENT (One as listed overleaf) \_\_\_\_\_

\*Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)

REGISTERED ADDRESS (If different from above)

CITY/TOWN/VILLAGE:	PIN CODE <input type="text"/>	STATE:
		COUNTRY:

PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT **ANY ONE** OF THE FOLLOWING VALID DOCUMENTS & **TICK** AGAINST THE DOCUMENT ATTACHED  
 \*LATEST TELEPHONE BILL (Only landline)  \*LATEST ELECTRICITY BILL  \*LATEST BANK ACCOUNT STATEMENT  REGISTERED LEASE / SALE  
 AGREEMENT OF OFFICE PREMISES  ANY OTHER PROOF OF ADDRESS DOCUMENT (One as listed overleaf) \_\_\_\_\_

\*Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy)

### B. Other Details (Please see guidelines)

NAME, PAN, DIN/AADHAAR NUMBER, RESIDENTIAL ADDRESS AND PHOTOGRAPHS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES / WHOLE TIME DIRECTORS (Please use the Annexure to fill in the details)

ANY OTHER INFORMATION: \_\_\_\_\_

#### 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 may be held liable for it.

PLACE: \_\_\_\_\_  
 DATE (dd/mm/yyyy):

**NAME AND  
SIGNATURE OF  
AUTHORISED  
PERSON(S) [1]**

X  
X

#### FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code \_\_\_\_\_

Seal/Stamp of the intermediary should contain

Staff Nam

Designation

Name of the Organization

Signature

Date

**DETAILS OF PROMOTERS/ PARTNERS/ KARTA/ TRUSTEES AND WHOLE TIME DIRECTORS  
FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS**

NAME OF THE APPLICANT: \_\_\_\_\_

PAN CARD OF THE APPLICANT: \_\_\_\_\_

SR NO	PAN	NAME	DIN (FOR DIRECTORS)/ AADHAR NUMBER (FOR OTHERS)	RESIDENTIAL/REGISTERED ADDRESS	RELATIONSHIP WITH THE APPLICANT (i.e. promoters, Whole Time Directors, etc.)	PHOTOGRAPH
1.						
2.						
3.						
4.						
5.						
6.						

## ANNEXURE - 2.2A

### Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [ For-non-individual]

NAME OF HOLDER: \_\_\_\_\_

PAN OF HOLDER: \_\_\_\_\_

Sr. No.	Name of the Authorized signatories /Promoters / Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc)	Please tick the relevant option.
1			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
2			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
3			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
4			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
5			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

PEP: Politically Exposed Person

RPEP: Related to politically Exposed Person

<b>CLIENT'S SIGNATURE [3]</b> <u>X</u>	DATE (DD/MM/YYYY) <u>  </u>
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### DECLARATION BY HUF FOR OPENING A TRADING AND/OR DEMAT ACCOUNT

TO RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

Sir/Madam,

I hereby request you to open a Trading and/or Demat account with the name of HUF. Being Karta of my family, I hereby declare that the following are a list of family members in our HUF, as on date of this application.

SR NO.	NAME OF FAMILY MEMBER	SEX (M/F)	RELATIONSHIP	DATE OF BIRTH
1				
2				
3				
4				
5				

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on the date of this application to open a new Trading and/or Demat account.

I agree that any false or misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death(s) or birth(s) in the family as it changes the constitution of the HUF.

Yours faithfully,

CLIENT'S NAME  <b>CLIENT'S SIGNATURE [4]</b> <u>X</u>	DATE (DD/MM/YYYY) <u>  </u>
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**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 System IBT 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	
<b>CLIENT'S SIGNATURE [5]</b> <input checked="" type="checkbox"/>	DATE (DD/MM/YYYY) <input type="text"/>

**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@upstox.com 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	
<b>CLIENT'S SIGNATURE [6]</b> <input checked="" type="checkbox"/>	DATE (DD/MM/YYYY) <input type="text"/>

## 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):	
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/WE WOULD LIKE TO TRADE ON THE NSE F&O SEGMENT		<b>CLIENT'S SIGNATURE [7A]</b> <input style="width: 100px; border: 1px solid black;" type="text"/>
<input type="checkbox"/> I/WE WOULD LIKE TO TRADE ON THE NSE CDS SEGMENT		<b>CLIENT'S SIGNATURE [7B]</b> <input style="width: 100px; border: 1px solid black;" type="text"/>
<input type="checkbox"/> I/WE WOULD LIKE TO TRADE ON THE BSE CDS SEGMENT		<b>CLIENT'S SIGNATURE [7C]</b> <input style="width: 100px; border: 1px solid black;" type="text"/>

DATE (DD/MM/YYYY)

### 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:
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REGISTERED OFFICE ADDRESS:			
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STATE:	COUNTRY:	TEL:	FAX:
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**SECTION G****DEALINGS THROUGH OTHER MEMBERS**

IF CLIENT IS DEALING THROUGH ANY OTHER MEMBER, PLEASE PROVIDE THE FOLLOWING DETAILS (IN CASE DEALING WITH MULTIPLE MEMBERS, PROVIDE DETAILS OF ALL IN A SEPARATE SHEET CONTAINING ALL THE INFORMATION AS MENTIONED BELOW)

MEMBER/AUTHORIZED PERSON NAME:	EXCHANGE:	EXCHANGE REGISTRATION NUMBER:
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CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:	CLIENT CODE:
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REGISTERED OFFICE ADDRESS:	CITY:
----------------------------	-------

STATE:	COUNTRY:	TELEPHONE:	FAX:
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EMAIL ADDRESS:	DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/AP:
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WEBSITE:	
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**SECTION H****ADDITIONAL DETAILS**

CONTRACT NOTE PREFERENCES:  ELECTRONIC CONTRACT NOTE (ECN)  PHYSICAL CONTRACT NOTE

EMAIL ADDRESS (**Same as mentioned on Page 4**):

<input checked="" type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTERNET TRADING / WIRELESS TECHNOLOGY	NUMBER OF YEARS OF INVESTMENT / TRADING EXPERIENCE
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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
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SECTION I	INTRODUCER DETAILS	(OPTIONAL)
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NAME OF THE INTRODUCER	RELATIONSHIP WITH THE INTRODUCER
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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
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INTRODUCER'S PHONE NUMBER	INTRODUCER'S CLIENT ID	<b>INTRODUCER'S SIGNATURE</b>
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NOMINATION DETAILS FOR TRADING ACCOUNT AS PER PAGE 16.

CLIENT'S NAME	<b>CLIENT'S SIGNATURE [8]</b> <u>X</u>	DATE (DD/MM/YYYY) <u>  </u>
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**ANNEXURE 2.3****INSTRUCTIONS TO THE APPLICANTS (BOs) FOR ACCOUNT OPENING**

1. Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her officials.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first/ sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable.

## 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:
<b>CLIENT'S SIGNATURE [9]</b> <input style="width: 100%;" type="text"/>	DATE (DD/MM/YYYY) <input style="width: 100%;" type="text"/>

FOR OFFICE USE ONLY		
CLIENT'S UCC CODE:		
VERIFICATION OF DOCUMENTS		
DOCUMENTS VERIFIED BY:	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:
EMPLOYEE SIGNATURE		ON DATE (DD/MM/YYYY) <input style="width: 100%;" type="text"/>
CLIENT INTERVIEW		
CLIENT INTERVIEWED BY:	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:
EMPLOYEE SIGNATURE		ON DATE (DD/MM/YYYY) <input style="width: 100%;" type="text"/>
IN PERSON VERIFICATION (IPV)		
IPV PERFORMED BY:	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:
EMPLOYEE SIGNATURE		ON DATE (DD/MM/YYYY) <input style="width: 100%;" type="text"/>
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 INTERMEDIARY
EMPLOYEE SIGNATURE	DATE (DD/MM/YYYY) <input style="width: 100%;" type="text"/>	

## TARIFF SHEET

TO: RKS Securities India Private Limited

Dear Sir or Madam,

I would like to subscribe to the RKS Securities India Pvt. Ltd for trading and demat account and request RKS Securities India Pvt. Ltd. to apply brokerage charges as mentioned and as per the terms and conditions of RKS Securities India Pvt. Ltd.

### BROKERAGE CHARGE

Account opening charges would be Rs. 500/- plus service tax.

Brokerage for Equity delivery trades would be 10 paise or Rs. 20 whichever is lower.

Brokerage for Equity intraday / Future / Currency would be Rs. 20 per order traded or 0.01% whichever is lower.

Brokerage for Option would be Rs. 20 per order traded.

For NRI's it would be Rs. 200 per order traded or 0.10% of turnover whichever is lower in BSE Cash Delivery and NSE Cash Delivery and Rs. 200 per order traded under F&O segment.

### STATUTORY CHARGES

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

Securities Transaction Tax, Transaction Charges, Service Tax, Stamp Duty, Education and Higher Education Cess, SEBI Turnover Fees, Swachh Bharat Cess and Clearing Member Charges.

Electronic Contract Notes are free. Physical Contract note copies are charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKS. Terms and Conditions can be subject to change provided the same is done as for applicable guidelines of SEBI/exchange.

The terms and conditions of the RKS Securities India Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans below provided by RKS 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 RKS Securities India Pvt. Ltd.

Note: Brokerage is also charged on expired, exercised and assigned Futures and Options contracts.

Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note.

Yours faithfully,

CLIENT'S NAME

**CLIENT'S SIGNATURE  
AND STAMP[10]**

X

DATE (DD/MM/YYYY)

### FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER

## LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES

TO: RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

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 (As mentioned on Page 4):** \_\_\_\_\_

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	
<b>CLIENT'S SIGNATURE AND STAMP[11]</b>	<u>X</u>
DATE (DD/MM/YYYY) <input type="text"/>	

## AUTHORIZATION FOR RUNNING ACCOUNT

TO: RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

I am a registered client with you, and am dealing in Capital Market/ Derivative Market/ Currency Market segment(s), and have a RKS 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	
<b>CLIENT'S SIGNATURE AND STAMP[12]</b>	<u>X</u>
DATE (DD/MM/YYYY) <input type="text"/>	

## ACKNOWLEDGEMENT LETTER

TO: RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

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 Securities Freedom Plan Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of RKS 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	
<b>CLIENT'S SIGNATURE AND STAMP[13]</b>	<input type="text" value="X"/>
DATE (DD/MM/YYYY) <input type="text"/>	

## CLIENT REFERRAL PROGRAM

TO: RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

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 or Member of any Commodity Exchange.
2. I am not an employee of any Stock Broker or Member.
3. I am not a Sub Broker, Remisier and/or Authorised Person of any Stock Broker or Member.
4. There has not been any action initiated or taken against me by FMC / SEBI / Exchange 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 RKS, I will email RKS at support@upstox.com with my name, and the Individual's Name and Date of Birth from my registered email address with RKS.

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	
<b>CLIENT'S SIGNATURE</b> <b>AND STAMP[14]</b> <u>X</u>	
DATE (DD/MM/YYYY) <input type="text"/>	
CLIENT ID (LEAVE BLANK IF NEW CUSTOMER)	

If you have any friends who are interested in RKS, 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

## SAMPLE AUTHORITY LETTER IN FAVOUR OF A PARTNER(S)

### (TO BE OBTAINED ON PRE PRINTED LETTER HEAD OF THE FIRM)

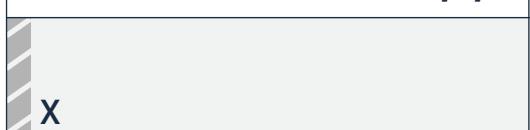
TO: RKS Securities India Private Limited  
30th Floor, Sunshine Tower,  
Senapati Bapat Marg,  
Dadar (W),  
Mumbai - 400 013

Dear Sir / Madam,

We the partners of M/s \_\_\_\_\_ partnership firm, having its office at \_\_\_\_\_  
\_\_\_\_ hereby authorize Mr./Mrs./Ms. \_\_\_\_\_  
\_\_\_\_ and Mr./Mrs./Ms. \_\_\_\_\_ and Mr./Mrs./Ms. \_\_\_\_\_  
\_\_\_\_ to open a securities trading account in Capital Market segment, F&O Segment, Retail Debt  
Market Segment and Currency Derivatives segment on behalf of M/s. \_\_\_\_\_ to open  
a securities trading account in Capital Market Segment and / or F&O Segment on behalf of the Firm M/s. \_\_\_\_\_  
\_\_\_\_ with yourself for sale and purchase of shares/ debentures/derivative instruments or in any segment  
that may be introduced by NSE/BSE/MSEI in future. He/She/They is/are authorized on behalf of the firm to deal in  
Equities, Derivatives, Debentures and the said Trading Members are hereby authorized to honor all instructions oral or written,  
given on behalf of the firm by him/her/them.

Mr./Mrs./Ms. \_\_\_\_\_ and Mr./Mrs./Ms. \_\_\_\_\_  
Mr./Mrs./Ms. \_\_\_\_\_ is/are authorized to sell, purchase, transfer, endorse, negotiate  
documents and/or/otherwise deal through yourself on behalf of the firm Ms. \_\_\_\_\_  
He/She/They is/are also authorized to sign, execute and submit such applications, undertakings, agreements and other  
requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this  
purpose. We also recognize that a beneficiary account cannot be opened with a Depository Participant in the name of the  
partnership firm as per depository regulations. To facilitate the operation of the above trading account with you and for the  
purpose of completing the securities transfer obligation, pursuant to the. Trading operations, we authorize you to recognize  
the Beneficiary Account Number \_\_\_\_\_ with depositor having DP ID 12081800  
opened as a joint account in the name 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 recognized and accept  
transfer made by to the beneficiary account as complete discharge of obligations by you in respect to trade executed in the  
above trading account of the firm

Yours Truly,

<b>SIGNATURE AND STAMP OF PARTNER [15]</b>	<b>SIGNATURE AND STAMP OF PARTNER</b>	<b>SIGNATURE AND STAMP OF PARTNER</b>
 X		

(Signature of all the Partners with the rubber stamp required).