

### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

DOCUMENT	SIGNIFICANCE	PAGE(s)
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.	<b>4</b>
Rights and Obligations	Provided to client	
Risk Disclosure Document (RDD)	Provided to client	
Guidance Note	Provided to client	
Policies and Procedures	Provided to client	
Tariff Sheet	Details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	<b>11</b>
FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	<b>10</b>

### VOLUNTARY CLAUSE

DOCUMENT	SIGNIFICANCE	PAGE(s)
Authorization for Electronic Contract Notes	Letter of Authorization for Electronic Contract Notes.	<b>9</b>
Authorization of running account/request letter	Letter or authority/request to RKSV Commodities India Pvt. Ltd.	<b>9</b>

#### REGISTERED OFFICE ADDRESS

RKSV 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](mailto:contact@upstox.com), [www.upstox.com](http://www.upstox.com)

#### CEO (BSE/NSE)

Mr. Ravi Kumar  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

#### COMPLIANCE OFFICER (BSE/NSE)

Mr. Amit Lalan  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

#### COMPLIANCE OFFICER (DP)

Mr. Amit Lalan  
Telephone: +91-22-6130-9999  
Email: [compliance@upstox.com](mailto:compliance@upstox.com), [www.upstox.com](http://www.upstox.com)

#### KYC PROCESSING OFFICE ADDRESS

RKSV 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](mailto:contact@upstox.com), [www.upstox.com](http://www.upstox.com)

#### SEBI REGISTRATION NUMBERS

SEBI Regn. No. NSE/ BSE : INZ000185137  
Registration Date: July 23, 2010  
SEBI Regn. No. DP: IN-DP-118-2015  
Registration Date: September 4, 2015

#### CLEARING MEMBER INFORMATION

RKSV Securities India Pvt. Ltd  
ISSL Settlement & Transaction Services  
Limited: INF231133630, INF011133834,  
INE231308334 CIN: U74900DL2009PTC189166

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### (A) IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients.
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. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
8. 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.
9. 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:

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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 Bank.

### (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 3 months old.
3. BankAccount 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/Gazetted 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 FM/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, FIs, MFs, VCFs, FVCI, 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).

## 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.

1. Copy of ITR Acknowledgement
2. Copy of Annual Accounts
3. In case of Salary Income – Salary Slip, Copy of Form 16
4. Net Worth Certificate
5. Copy of demat account holding statement.
6. Bank account statement for last 6 months
7. Photocopy of the canceled cheque having the name of the account holder where the cheque book is issued, (or)
8. Photocopy of the Bank Statement having name and address of the BO
9. Photocopy of the Passbook having name and address of the BO, (or)
10. Letter from the Bank.
11. Self declaration with relevant supporting documents.
12. Any other relevant documents substantiating ownership of Assets.

In case of options 7, 8, 9 and 10 above, MICR and IFSC code of the branch should be present / mentioned on the document.

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### DEMAT MASTER OR RECENT HOLDING STATEMENT ISSUED BY DP BEARING NAME OF THE CLIENT

For individuals:

1. 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.
2. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

1. Form needs to be initialized by all the authorized signatory.
2. Copy of Board Resolution as declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

## 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.



## Know Your Client (KYC) Application Form (For 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.

PLEASE AFFIX A  
RECENT PASSPORT  
PHOTOGRAPH AND  
**SIGN ACROSS IT**

**CLIENT'S SIGNATURE [1]**

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

FULL NAME (As appearing in supporting identification document):	
FATHER / SPOUSE'S NAME:	MAIDEN NAME: (If any)
MOTHER NAME:	
GENDER <input type="radio"/> MALE <input type="radio"/> FEMALE <input type="radio"/> T - TRANSGENDER	MARITAL STATUS <input type="radio"/> MARRIED <input type="radio"/> UNMARRIED <input type="radio"/> OTHERS
CITIZENSHIP <input type="radio"/> IN - INDIAN <input type="radio"/> OTHERS (ISO 3166 COUNTRY CODE [ ][ ] )	DATE OF BIRTH (dd/mm/yyyy) [ ][ ] [ ][ ] [ ][ ] [ ][ ]
RESIDENTIAL STATUS <input type="radio"/> RESIDENT INDIVIDUAL <input type="radio"/> NON RESIDENT INDIAN <input type="radio"/> FOREIGN NATIONAL <input type="radio"/> PERSON OF INDIAN ORIGIN	
PAN (Please enclose a duly attested copy) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	AADHAAR NUMBER (if any) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]
PROOF OF IDENTITY SUBMITTED FOR PAN EXEMPT CASES (Please Tick ✓) <input type="radio"/> UID (AADHAAR) <input type="radio"/> PASSPORT <input type="radio"/> VOTER ID <input type="radio"/> DRIVING LICENCE <input type="radio"/> OTHERS _____ (Please see guideline 'D') <input type="radio"/> NREGA JOB [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	

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

Address Type <input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified	
ADDRESS FOR RESIDENCE/CORRESPONDENCE:	
CITY/TOWN/VILLAGE:	PIN CODE [ ][ ][ ][ ][ ][ ][ ][ ]
	STATE: COUNTRY:
TEL (OFF):	TEL (RES):
MOBILE: [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	FAX: [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]
EMAIL ADDRESS:	
PERMANENT ADDRESS OF RESIDENT APPLICANT IF DIFFERENT FROM ABOVE B1 OR OVERSEAS ADDRESS(MANDATORY) FOR NON RESIDENT APPLICANT:	
CITY/TOWN/VILLAGE:	PIN CODE [ ][ ][ ][ ][ ][ ][ ][ ]
	STATE: COUNTRY:
PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT <b>ANY ONE</b> OF THE FOLLOWING VALID DOCUMENTS & <b>CHOOSE</b> THE DOCUMENT ATTACHED <input type="radio"/> PASSPORT <input type="radio"/> RATION CARD <input type="radio"/> REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE <input type="radio"/> DRIVING LICENCE <input type="radio"/> VOTER IDENTITY CARD <input type="radio"/> *LATEST BANK A/c STATEMENT/PASSBOOK <input type="radio"/> *LATEST TELEPHONE BILL (Only landline) <input type="radio"/> *LATEST ELECTRICITY BILL <input type="radio"/> *LATEST GAS BILL <input type="radio"/> OTHERS (Please Specify) _____ *Not more than 3 months old. Validity/Expiry date of proof of address submitted (dd/mm/yyyy) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	
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.

<b>CLIENT'S SIGNATURE [2]</b> <u>X</u>	PLACE:
	DATE (DD/MM/YYYY) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

### FOR OFFICE USE ONLY

IPV Done  on (dd/mm/yyyy) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

AMC/Intermediary name OR code	Application Type <input type="checkbox"/> New <input type="checkbox"/> Update	Seal/Stamp of the intermediary should contain Staff Name Designation Name of the Organization Signature Date Place
<input type="checkbox"/> (Originals verified) True copies of documents received	KYC Number (Mandatory for KYC update request) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	
<input type="checkbox"/> (Attested) True copies of documents received Main Intermediary	Account Type <input type="checkbox"/> Normal <input type="checkbox"/> Small <input type="checkbox"/> Simplified ( or low risk customers)	

## TRADING AND DEMAT ACCOUNT RELATED DETAILS

### SECTION A

### PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)

BANK NAME	BRANCH NAME	
BRANCH ADDRESS		
CITY/TOWN/VILLAGE	PIN CODE <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>	STATE
		COUNTRY
ACCOUNT NUMBER		
MICR NUMBER <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>	IFSC CODE <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/>	
ACCOUNT TYPE <input type="radio"/> CURRENT <input type="radio"/> SAVINGS <input type="radio"/> NRI / NRE / NRO <input type="radio"/> OTHERS (Please Specify) _____		

### SECTION B

### PRIMARY DEPOSITORY ACCOUNT

(OPTIONAL)

DEPOSITORY PARTICIPANT NAME	DP TYPE (NSDL/CDSL)	DEPOSITORY PARTICIPANT ID
BENEFICIARY NAME	BENEFICIARY ID (BO ID)	

### SECTION 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. 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.

NSE CDS SEGMENT <input checked="" type="checkbox"/> X CLIENT'S SIGNATURE [3A]	BSE CDS SEGMENT <input checked="" type="checkbox"/> X CLIENT'S SIGNATURE [3B]	NSE F&O SEGMENT <input checked="" type="checkbox"/> X CLIENT'S SIGNATURE [3C]
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DATE (DD/MM/YYYY)

### SECTION 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.

### SECTION E

### 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:
CONCERNED MEMBER'S NAME WITH WHOM AP IS REGISTERED:		CLIENT CODE:
REGISTERED OFFICE ADDRESS:		CITY:
STATE:	COUNTRY:	TELEPHONE:
		FAX:
EMAIL ADDRESS:	DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:	
WEBSITE:		

DETAILS OF RELATED PERSON (RP) (In case of additional related persons, please fill Annexure B1' ) (Please refer instruction G at the end)

Addition of RP  Deletion of RP  KYC Number of RP (if available\*)

RP Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, Proof of identity of RP required)

## SECTION F

## ADDITIONAL DETAILS

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

EMAIL ADDRESS (Same as mentioned on Page 4):

 I WISH TO AVAIL THE FACILITY OF INTERNET 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 G

## INTRODUCER DETAILS

(OPTIONAL)

NAME OF THE INTRODUCER

RELATIONSHIP WITH THE INTRODUCER

INTRODUCER'S STATUS  EXISTING CLIENT  AUTHORIZED PERSON  SUB-BROKER  REMISIER

INTRODUCER'S ADDRESS

INTRODUCER'S PHONE NUMBER

INTRODUCER'S SIGNATURE

INTRODUCER'S CLIENT ID

CLIENT'S NAME

CLIENT'S

SIGNATURE [4] X

DATE (DD/MM/YYYY)

## 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

CLIENT'S

SIGNATURE [5] X

DATE (DD/MM/YYYY)

## FOR OFFICE USE ONLY

CLIENT'S UCC CODE

EMPLOYEE CODE:

EMPLOYEE DESIGNATION:

## VERIFICATION OF DOCUMENTS

DOCUMENTS VERIFIED BY:

EMPLOYEE DESIGNATION:

ON DATE (DD/MM/YYYY)

EMPLOYEE SIGNATURE:

EMPLOYEE CODE:

## CLIENTS INTERVIEW

CLIENT INTERVIEWED BY

EMPLOYEE DESIGNATION:

ON DATE (DD/MM/YYYY)

EMPLOYEE SIGNATURE:

EMPLOYEE CODE:

## IN PERSON VERIFICATION (IPV)

IPV PERFORMED BY

EMPLOYEE DESIGNATION:

ON DATE (DD/MM/YYYY)

EMPLOYEE SIGNATURE:

EMPLOYEE CODE:

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 (DD/MM/YYYY)

SEAL/STAMP OF THE INTERMEDIARY

**OTHER DETAILS****GROSS ANNUAL INCOME DETAILS (Income Range per annum)**

- UP TO RS. 1 LAC   
  RS. 1 LAC - RS. 5 LAC   
  RS. 5 LAC - RS. 10 LAC  
 RS. 10 LAC - RS. 25 LAC   
  MORE THAN RS. 25 LAC

NET WORTH AS ON DATE (NOT OLDER THAN 1 YEAR)

VALUE IN Rs. \_\_\_\_\_

DATE (DD/MM/YYYY) 

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FOR NON INDIVIDUALS:     25 LAC - 1 CRORE     OVER 1 CRORE

Occupation Type\*  S-Service (  Private Sector  Public Sector  Government Sector )  
 O-Others (  Professional  Self Employed  Retired  Housewife  Student )  
 B-Business  X- Not Categorised  Agriculturist

AFFILIATIONS:     POLITICALLY EXPOSED PERSON (PEP)     RELATED TO A POLITICALLY EXPOSED PERSON (RPEP)

ANY OTHER INFORMATION:

**H. NOMINATION DETAILS (for individuals only)**

- I/We wish to nominate**   
  **I/We do not wish to nominate**

Name of the Nominee:

Relationship with the Nominee:

PAN of Nominee

Date of Birth of Nominee

Address and phone no. of the Nominee

**If Nominee is a minor, details of guardian:**

Name of guardian

Address and phone no. of Guardian:

Signature of guardian

**DETAILS OF THE WITNESS #1**

NAME

ADDRESS

SIGNATURE

**DETAILS OF THE WITNESS #2**

NAME

ADDRESS

SIGNATURE

CLIENT'S NAME

**CLIENT'S  
SIGNATURE [6] X** \_\_\_\_\_DATE (DD/MM/YYYY) 

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**PART A: 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 using trading 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

<div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="display: flex; align-items: center;"> <div style="background-color: #e0e0e0; padding: 5px; margin-right: 10px;"> <b>CLIENT'S SIGNATURE [7]</b> </div> <div style="border-bottom: 1px solid black; flex-grow: 1; position: relative;"> <span style="position: absolute; left: -10px; top: -10px; font-size: 2em;">X</span> </div> </div>	DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>										



**LETTER FOR AUTHORIZATION FOR ELECTRONIC CONTRACT NOTES & AUTHORIZATION FOR RUNNING ACCOUNT**

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

SUB: Authorization for Electronic Contract Notes & AUTHORIZATION FOR RUNNING ACCOUNT

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 (Same as mentioned on Page 4):** \_\_\_\_\_

1. I also agree that non-receipt of bounced mail notification by you shall amount to delivery at my email account /email id.
  2. 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.
  3. I agree that the log reports of your dispatching software shall be a 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.
  4. 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.
  5. I understand that, you shall send physical copy of the contract note within 24 hours if you received a bounced email.
  6. 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.
  7. 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.
  8. 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).
  9. 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.
  10. 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
  11. 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. You may further retain sum of rupees 10,0000/-
  12. 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 else it will be final
- Yours faithfully,

CLIENT'S NAME

**CLIENT'S  
SIGNATURE [8] X** \_\_\_\_\_

DATE (DD/MM/YYYY) 

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## FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Please fill the information below as requested

Name of the Account Holder

Indicate ( ) your Tax Residency /  
Citizenship / Nationality

India  U.S.A  Others

**If ticked on “Others” and/or “U.S.A”, please provide all details under point no. 2,3,4,5 below:**

Specify City and Country of Birth

Specify Country(ies) of Tax Residency/  
Citizenship / Nationality /  
Green card holder, other than India

Tax Identification Number (for U.S.A.)  
or its functional equivalent (other  
than U.S.A.)

Source of Wealth

Salary  Business  
 Gift  Rental Income  
 Royalty  Ancestral Property  
 Prize Money  Others

### DECLARATION

I / We hereby declare, agree and confirm the following:

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform RKSV CommoditiesIndia Private Limited within 30 days, in case of any change in the above given status on a future date;
- b) If I /we am/are U.S. person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by RKSV CommoditiesIndia Private Limited to the relevant tax authority. or information may be shared with concerned Asset Management Companies (AMCs) or to any of the Government Agencies / Tax authorities / Regulators / Exchanges / Depositories of India or of any country other than India;

**CLIENT'S SIGNATURE [9]**

X

#### What is FATCA / CRS?

The U.S. government introduced the Foreign Account Tax Compliance Act, 2010 (FATCA) for obtaining information on accounts held by U.S. taxpayers in other countries. Further, Organization for Economic Co-operation & Development (OECD) and G20 countries agreed for automatic exchange on information through Common Reporting Standards (CRS). The Government of India has signed an Inter-Government Agreement (IGA) with US and has also joined the Multilateral Competent Authority agreement (MCAA) for automatic sharing of information with member countries of OECD and G20. By virtue of India signing an IGA with US and joining MCAA, Indian financial institutions will have to provide the required financial information to Indian tax authorities which in turn would forward reportable information to US IRS and member countries of OECD and G20 countries.

**US Person means:** In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizens, Green Card Holders, tax residents.

#### Who is Reportable Person (Non US) under Common Reportable Standards (CRS)?

Under Common Reportable Standards (CRS), reportable person means Tax residents of a reportable foreign jurisdiction other than U.S. (Please note the above information is provided only for quick reference to customers. You are requested to consult a legal/ tax advisor if in doubt.)

#### Documents to be collected if Customer's Country of birth is U.S. but declare that he/ she are not a U.S. person

1. Certificate of relinquishment of citizenship (Loss of nationality certificate); OR
2. Self certification for stating reasons for not having such a certificate despite relinquishment U.S. citizenship; OR
3. Self certification for stating reasons for not obtaining U.S. citizenship at birth.

## TARIFF SHEET

TO: RKSV Securities India Private Limited

Dear Sir or Madam,

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

### BROKERAGE CHARGE

Account opening fee	Free	<b>Rs. 149/- [Trading+DP] +GST</b>	Rs. 249/- [Trading+DP] +GST
		Rs. 499/- [Trading+DP] +GST	Rs. 999/- [Trading + DP] + GST
<input type="radio"/> Brokerage - Basic 0.05% or RS 20/- per order traded Whichever is lower ; For option Rs. 20 per order traded			
<input type="radio"/> Priority Pack 0.10% or RS 30/- per order traded Whichever is lower For option Rs. 30 per order traded			

### 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, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST. Electronic Contract Notes are free. In case of any request for Physical Contract note, the Contract Note copies will be charged at Rs. 50 per contract note (for ECN clients) + Courier charges as applicable. Depository Participant charges as levied by RKSV. 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 RKSV Securities India Pvt. Ltd. plans have been read and understood by me. I wish to avail the plans below provided by RKSV 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 RKSV Securities India Pvt. Ltd.

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

Yours faithfully,

CLIENT'S NAME

**CLIENT'S**  
**SIGNATURE [10]** X

DATE (DD/MM/YYYY)

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### FOR OFFICE USE ONLY

CLIENT'S TRADING ACCOUNT NUMBER

## ACKNOWLEDGEMENT LETTER

TO: RKSV 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 RKSV Securities Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of RKSV Securities India Pvt. Ltd.
7. All other mandatory and voluntary client registration documents.
8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

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 [11]**  X

DATE (DD/MM/YYYY)

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