

## MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGE

S. NO.	DOCUMENT	SIGNIFICANCE	PAGE(s)
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list for filling KYC form.	4
2	Rights and Obligations	Provided to the client (consent declaration on Page 7)	
3	Risk Disclosure Document (RDD)	Provided to the client (consent declaration on Page 7)	
4	Guidance Note	Provided to the client (consent declaration on Page 7)	
5	Policies and Procedures	Provided to the client (consent declaration on Page 7)	
6	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and charges related to demat account	15

## MANDATORY DOCUMENTS FOR OPENING OF DEMAT ACCOUNT

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
7	Application for Demat Account	Details are required for adhering to "Know Your Client" for opening a Demat Account	5
8	Authorisation for debit charges	Authorisation to debit trading account for the demat account charges - Part B	8
9	FATCA CRS Declaration	Client's self declaration on holding of overseas asset if any	11

## VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S. NO.	DOCUMENT	SIGNIFICANCE	PG NO's
10	DIS Issue	Option form for issue of Delivery Instruction Slip	10
11	Power of Attorney	Power of Attorney provided to broker to facilitate payin of securities and other authorizations	16 - 17
12	Letter of Authorization for Electronic Contract	Client consent letter for receiving the contract notes by Email.	9
13	Running Account Authorization	Letter of Authorization for maintaining a Running Account with RKSV.	9
14	Declaration	Declaration related to Mobile/Email ID registration.	14

### 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, www.upstox.com

### CEO (BSE/NSE)

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

### COMPLIANCE OFFICER (BSE/NSE)

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

### COMPLIANCE OFFICER (DP)

Mr. Hiren Thakkar  
Telephone: +91-22-6130-9999  
Email: compliance@upstox.com, 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, 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 apostilled 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, 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).

## 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 ☐ MALE ☐ FEMALE ☐ T - TRANSGENDER

MARITAL STATUS ☐ MARRIED ☐ UNMARRIED ☐ OTHERS

CITIZENSHIP ☐ IN - INDIAN ☐ OTHERS (ISO 3166 COUNTRY CODE )

DATE OF BIRTH (dd/mm/yyyy)

RESIDENTIAL STATUS ☐ RESIDENT INDIVIDUAL ☐ NON RESIDENT INDIAN ☐ FOREIGN NATIONAL ☐ 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 ✓)

☐ UID (AADHAAR) ☐ PASSPORT ☐ VOTER ID ☐ DRIVING LICENCE ☐ OTHERS

(Please see guideline 'D')

☐ NREGA JOB

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

Address Type ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

ADDRESS FOR RESIDENCE/CORRESPONDENCE:

09/02/2021

KRA VERIFIED

PAN: CZRPK8402Q

SUNIL SURESH KUMBHAR

CITY/TOWN/VILLAGE:

TEL (OFF):

MOBILE:

EMAIL ADDRESS:

PERMANENT ADDRESS OF RESIDENT APPLICANT:

OR NON RESIDENT APPLICANT:

CITY/TOWN/VILLAGE:

PIN CODE

STATE:

COUNTRY:

PROOF OF ADDRESS TO BE PROVIDED BY APPLICANT. PLEASE SUBMIT **ANY ONE** OF THE FOLLOWING VALID DOCUMENTS & **CHOOSE** THE DOCUMENT ATTACHED

☐ PASSPORT ☐ RATION CARD ☐ REGISTERED LEASE/SALE AGREEMENT OF RESIDENCE ☐ DRIVING LICENCE ☐ VOTER IDENTITY CARD  
☐ \*LATEST BANK A/c STATEMENT/PASSBOOK ☐ \*LATEST TELEPHONE BILL (Only landline) ☐ \*LATEST ELECTRICITY BILL ☐ \*LATEST GAS BILL  
☐ 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.

CLIENT'S  
SIGNATURE [2] X

PLACE:

DATE (DD/MM/YYYY)

### FOR OFFICE USE ONLY

IPV Done ☐ on (dd/mm/yyyy)

AMC/Intermediary name OR code

☐ (Originals verified) True copies of documents received

☐ (Attested) True copies of documents received Main Intermediary

Application Type ☐ New ☐ Update

KYC Number (Mandatory for KYC update request)

Account Type ☐ Normal ☐ Small

☐ Simplified ( or low risk customers)

Seal/Stamp of the intermediary should contain  
Staff Name  
Designation  
Name of the Organization  
Signature  
Date  
Place

# ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT



## TO BE FILLED BY THE DEPOSITORY PARTICIPANT

APPLICATION NUMBER:	DATE (DD/MM/YYYY)
DP INTERNAL REFERENCE NUMBER:	DP ID <u>1 2 0 8 1 8 0 0</u> BO ID

## TYPE OF ACCOUNT (PLEASE TICK WHICHEVER IS APPLICABLE)

<input checked="" type="radio"/> INDIVIDUAL	<input checked="" type="radio"/> INDIVIDUAL RESIDENT <input type="radio"/> INDIVIDUAL DIRECTOR'S RELATIVE INDIVIDUAL <input type="radio"/> PROMOTER <input type="radio"/> INDIVIDUAL MARGIN TRADING A/C (MANTRA)	<input type="radio"/> INDIVIDUAL DIRECTOR <input type="radio"/> INDIVIDUAL HUF / AOP <input type="radio"/> MINOR <input type="radio"/> OTHERS (SPECIFY)
<input type="radio"/> NRI	<input type="radio"/> NRI REPATRIABLE <input type="radio"/> NRI REPATRIABLE PROMOTER <input type="radio"/> NRI DEPOSITORY RECEIPTS	<input type="radio"/> NRI NON - REPATRIABLE <input type="radio"/> NRI NON - REPATRIABLE PROMOTER <input type="radio"/> OTHERS (SPECIFY)
<input type="radio"/> FOREIGN NATIONAL	<input type="radio"/> FOREIGN NATIONAL <input type="radio"/> FOREIGN NATIONAL DEPOSITORY RECEIPTS	<input type="radio"/> OTHERS (SPECIFY)

## HOLDER DETAILS (TO BE FILLED BY THE APPLICANT IN BLOCK LETTERS)

I/We Request You To Open A Demat Account In my/ our Name as per following details:

SOLE/FIRST HOLDER'S NAME <b>SUNIL SURESH KUMBHAR</b>	
PAN NO. (Compulsory) <u>C Z R P K 8 4 0 2 Q</u>	UID NO.
UCC ID	EXCHANGE ID NSE: 13942 BSE: 6155
SECOND HOLDER'S NAME:	
PAN NO. (Compulsory)	UID NO.
THIRD HOLDER'S NAME:	
PAN NO. (Compulsory)	UID NO.
NAME*:	
*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

## DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

GUARDIAN'S NAME:	
RELATIONSHIP WITH THE APPLICANT:	PAN NO. (Compulsory)

I / We instruct the DP to receive each and every credit in my/our account. (If not marked, the default option would be 'Yes') <input checked="" type="radio"/> YES <input type="radio"/> NO	I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No') <input type="radio"/> YES <input checked="" type="radio"/> NO
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Account Statement Requirement <input type="radio"/> AS PER SEBI REGULATION <input type="radio"/> DAILY <input type="radio"/> WEEKLY <input type="radio"/> FORTNIGHTLY <input checked="" type="radio"/> MONTHLY	I / We request you to send Electronic Transaction-cum- Holding Statement at the email ID <input checked="" type="radio"/> YES <input type="radio"/> NO <u>prajapati.sunil867@gmail.com</u>
I / We would like to share the email ID with the RTA <input checked="" type="radio"/> YES <input type="radio"/> NO	I / We would like to receive the Annual Report (Tick the applicable box. If not marked, the default option would be in Physical) <input type="radio"/> PHYSICAL <input type="radio"/> ELECTRONIC <input checked="" type="radio"/> BOTH PHYSICAL AND ELECTRONIC

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time] YES ☒ NO ☐

### Re: Confirmation to receive the account opening document and welcome letter through email and digitally signed

With reference to my/our application for opening of a Demat account with you. I / We wish to receive all documents related to account opening documents, welcome letter and CMR copy (digitally signed) on the registered email id provided. None of these would be physically sent unless requested for the same.

Thanking You, Yours faithfully

FIRST/SOLE HOLDER SIGNATURE [3]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE

## TRADING AND DEMAT ACCOUNT RELATED DETAILS

### SECTION A

#### PRIMARY BANKING ACCOUNT (DIVIDEND BANK DETAILS)

BANK NAME    HDFC BANK	BRANCH NAME    MUMBAI - VISHAL HALL - ANDHERI EAST																						
BRANCH ADDRESS    VISHAL SHOPPING CENTRESIR M V ROAD OPP GYMKHANAANDHERI E MUMBAIMAHARASHTRA400069																							
CITY/TOWN/VILLAGE MUMBAI	PIN CODE <table border="1" style="display: inline-table; text-align: center; width: 100px;"><tr><td>4</td><td>0</td><td>0</td><td>0</td><td>6</td><td>9</td></tr></table>	4	0	0	0	6	9	STATE    MAHARASHTRA															
4	0	0	0	6	9																		
		COUNTRY    INDIA																					
ACCOUNT NUMBER    50100236595447																							
MICR NUMBER <table border="1" style="display: inline-table; text-align: center; width: 100px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>											IFSC CODE <table border="1" style="display: inline-table; text-align: center; width: 150px;"><tr><td>H</td><td>D</td><td>F</td><td>C</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>8</td><td>6</td></tr></table>		H	D	F	C	0	0	0	0	0	8	6
H	D	F	C	0	0	0	0	0	8	6													
ACCOUNT TYPE <input type="radio"/> CURRENT <input checked="" 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.

BSE CASH SEGMENT <div style="border: 1px solid black; padding: 5px; text-align: center;">X</div> CLIENT'S SIGNATURE [4A]	NSE CASH SEGMENT <div style="border: 1px solid black; padding: 5px; text-align: center;">X</div> CLIENT'S SIGNATURE [4B]	NSE F&O SEGMENT <div style="border: 1px solid black; padding: 5px; text-align: center;">X</div> CLIENT'S SIGNATURE [4C]
BSE CDS SEGMENT <div style="border: 1px solid black; padding: 5px; text-align: center;">X</div> CLIENT'S SIGNATURE [4D]	NSE CDS SEGMENT <div style="border: 1px solid black; padding: 5px; text-align: center;">X</div> CLIENT'S SIGNATURE [4E]	

DATE (DD/MM/YYYY)    

0	9	0	2	2	0	2	1
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### 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: prajapati.sunil867@gmail.com	DETAILS OF DISPUTES/DUES PENDING FROM/TO SUCH MEMBER/ AP:	
WEBSITE:		

☐ 6. 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\*)    

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RP Type\*    ☐ Guardian of Minor    ☐ Assignee    ☐ Authorized Representative

Prefix                      First Name                      Middle Name                      Last Name

Name\*

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

SECTION F		ADDITIONAL DETAILS	
CONTRACT NOTE PREFERENCES: <input checked="" type="radio"/> ELECTRONIC CONTRACT NOTE (ECN) <input type="radio"/> PHYSICAL CONTRACT NOTE			
EMAIL ADDRESS (Same as mentioned on Page 5):    prajapati.sunil867@gmail.com			
<input checked="" type="checkbox"/> I WISH TO AVAIL THE FACILITY OF INTERNET TRADING / WIRELESS TECHNOLOGY		NUMBER OF YEARS OF INVESTMENT / TRADING EXPERIENCE < 1 Year	
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 <input type="radio"/> EXISTING CLIENT <input type="radio"/> AUTHORIZED PERSON <input type="radio"/> SUB-BROKER <input type="radio"/> REMISIER												
INTRODUCER'S ADDRESS		INTRODUCER'S PHONE NUMBER		<b>INTRODUCER'S SIGNATURE</b>								
INTRODUCER'S CLIENT ID												
CLIENT'S NAME    SUNIL SURESH KUMBHAR												
<b>CLIENT'S SIGNATURE [5] X</b>				DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr> <td>0</td><td>9</td><td>0</td><td>2</td><td>2</td><td>0</td><td>2</td><td>1</td> </tr> </table>	0	9	0	2	2	0	2	1
0	9	0	2	2	0	2	1					

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    SUNIL SURESH KUMBHAR		PLACE    Mumbai																	
<b>CLIENT'S SIGNATURE [6] X</b>																			
DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr> <td>0</td><td>9</td><td>0</td><td>2</td><td>2</td><td>0</td><td>2</td><td>1</td> </tr> </table>		0	9	0	2	2	0	2	1	DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr> <td>0</td><td>9</td><td>0</td><td>2</td><td>2</td><td>0</td><td>2</td><td>1</td> </tr> </table>		0	9	0	2	2	0	2	1
0	9	0	2	2	0	2	1												
0	9	0	2	2	0	2	1												

FOR OFFICE USE ONLY										
CLIENT'S UCC CODE	EMPLOYEE CODE:	EMPLOYEE DESIGNATION:								
<b>VERIFICATION OF DOCUMENTS</b>										
DOCUMENTS VERIFIED BY:	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:									
<b>CLIENTS INTERVIEW</b>										
CLIENT INTERVIEWED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
EMPLOYEE SIGNATURE:	EMPLOYEE CODE:									
<b>IN PERSON VERIFICATION (IPV)</b>										
IPV PERFORMED BY	EMPLOYEE DESIGNATION:	ON DATE (DD/MM/YYYY) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>								
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) <table border="1" style="display: inline-table; text-align: center; width: 150px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table>									SEAL/STAMP OF THE INTERMEDIARY



**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

**PART B**

Dear Sir,

Sub: Authorisation to debit trading account for the demat account charges

Ref: DP ID: 1 2 0 8 1 8 0 0 BO ID

I/We have opened/have a beneficiary account with your CDSL depository along with a trading account for investment and trading purposes. It would be difficult or me/us to keep issuing separate cheques against your depository bills. I/We, therefore authorize you to debit the charges payable towards operation of the above account. I/We are aware of the charges for operating the said account. Any such sum debited to my trading account shall be binding on me/us.

Thanking you,

Yours truly,

CLIENT'S NAME SUNIL SURESH KUMBHAR

**CLIENT'S**

**SIGNATURE [7] X**

DATE (DD/MM/YYYY)

0 9 0 2 2 0 2 1



**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 5):** prajapati.sunil867@gmail.com

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      SUNIL SURESH KUMBHAR

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



DATE (DD/MM/YYYY)    0 | 9 | 0 | 2 | 2 | 0 | 2 | 1 |

**SMS ALERT FACILITY.** Refer to Terms & Conditions given as **Annexure - 2.4** MOBILE NO.+91 

9	8	3	3	4	2	0	2	3	6
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[Mandatory, if you are giving Power of Attorney (POA)]  
(If POA is not granted & you do not wish to avail of this facility, cancel this option).

**TRANSACTIONS USING SECURED TEXTING FACILITY (TRUST).** Refer to terms and Conditions **Annexure - 2.6**

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ YES ☒ NO

I/We wish to register the following clearing member Ids under my / our below mentioned BO ID registered for TRUST

Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)

**EASI**

To register for Easi please visit our website [www.cdslindia.com](http://www.cdslindia.com)

Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I / We wish to avail the following facility:

Basic Services Demat A/C facility: ☐ YES ☒ NO

**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. 

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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:

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

**(OPTIONAL)**

DP ID 

1	2	0	8	1	8	0	0
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 BO ID 

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

DATE (DD/MM/YYYY) 

0	9	0	2	2	0	2	1
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Dear Sir,

I/We hereby state that: (select one of the option given below)

☐ OPTION 1

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/We have issued a Power of Attorney (POA) in favor of RKS SV Securities India Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

☒ OPTION 2

I/We do not require Delivery Instruction Slip (DIS) for time being. Since I/We have issued a POA in favor of RKS SV Securities India Pvt. Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

**FIRST/SOLE HOLDER SIGNATURE [9]**

**SECOND HOLDER SIGNATURE**

**THIRD HOLDER SIGNATURE**

X

# FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Please fill the information below as requested

FIRST ACCOUNT HOLDER

SECOND ACCOUNT HOLDER

THIRD ACCOUNT HOLDER

Name of the Account Holder

SUNIL SURESH KUMBHAR

Indicate ( ) your Tax Residency /  
Citizenship / Nationality

☒ India ☐ U.S.A ☐ Others

☐ India ☐ U.S.A ☐ Others

☐ 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

☐ Salary ☐ Business  
☐ Gift ☐ Rental Income  
☐ Royalty ☐  
☐ Prize Money ☐ Others

☐ Salary ☐ Business  
☐ Gift ☐ Rental Income  
☐ Royalty ☐  
☐ Prize Money ☐ Others

## DECLARATION

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

- The details furnished above are true to the best of my knowledge and belief and shall undertake to inform RKS SV Securities India Private Limited within 30 days, in case of any change in the above given status on a future date;
- 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 RKS SV Securities India 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;

**FIRST/SOLE HOLDER SIGNATURE [10]**

**SECOND HOLDER SIGNATURE**

**THIRD HOLDER SIGNATURE**

		
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### 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

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

## CONSENT LETTER FOR AVAILING BSE StAR MF FACILITY

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Account Opening documents (KYC Form) for the purpose of trading in the Capital Market segment of BSE Limited (BSE).

I/We am/are interested in availing the BSE StAR facility of BSE for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE StAR MF of the Exchange.

For the purpose of availing the BSE StAR MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE StAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the BSE Circular dated December 02, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund schemes.

I/We therefore request you to register me/us as your client for participating in the BSE Star Mf.


I/We hereby confirm having read and understood the terms & conditions and disclosures provided overleaf.

Your faithfully,

**FIRST/SOLE HOLDER SIGNATURE [11]**

**SECOND HOLDER SIGNATURE**

**THIRD HOLDER SIGNATURE**

		
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X

# NOMINATION DETAILS

DP ID 1 2 0 8 1 8 0 0

BO ID

NOMINATION REGISTRATION NO.:

PLACE

DATE (DD/MM/YYYY)

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

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

☐ I/We nominate the following person who is entitled to receive security balances lying in my/our account, Particulars whereof are given below, in the event of my/our death.

NOMINATION DETAILS	NOMINEE 1	NOMINEE 2	NOMINEE 3
* FIRST NAME			
MIDDLE NAME			
* LAST NAME			
* ADDRESS			
* CITY			
* STATE			
* PIN CODE			
* COUNTRY			
TELEPHONE NO.			
FAX NO.			
PAN NO.			
UID			
EMAIL ID			
* RELATIONSHIP WITH THE BO			
DATE OF BIRTH (Mandatory if nominee is a minor) dd-mm-yyyy			
NAME OF THE GUARDIAN OF NOMINEE (if nominee is a minor)			
* FIRST NAME			
MIDDLE NAME			
* LAST NAME			
* ADDRESS OF THE GUARDIAN OF NOMINEE			
* CITY			
* STATE			
* COUNTRY			
* PIN			
* AGE			
TELEPHONE			
FAX NO.			
EMAIL ID			
* RELATION OF THE GUARDIAN WITH THE NOMINEE			

* PERCENTAGE OF ALLOCATION OF SECURITIES			
* RESIDUAL SECURITIES [Please select any one nominee, if tick not marked the default will be first nominee]			

**\* Marked is a mandatory field**

**Note** - Residual securities: Incase of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

**Note** - One witness shall attest signature(s) / thumb impression(s)

**DETAILS OF THE WITNESS**

NAME

ADDRESS

SIGNATURE

I/We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/ Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

FIRST/SOLE HOLDER NAME	SECOND HOLDER NAME	THIRD HOLDER NAME
FIRST/SOLE HOLDER SIGNATURE [12]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

Declaration	Please strike off whichever is not applicable
I hereby declare that the mobile no./email id mentioned in the Account opening form/ request for change in mobile no./email id is my own	<input checked="" type="radio"/> Yes <input type="radio"/> No


[In case the option 'No' has been selected above, the request letter appended below is required to be submitted]

**REQUEST LETTER FOR REGISTRATION OF MOBILE NO./EMAIL OF PERSON BELONGING TO THE CLIENT'S FAMILY**

Please note that the mobile no./Email Address /both mentioned in the Account opening form/ request for change in mobile no. / Email belongs to Mr /Mrs. / Ms. \_\_\_\_\_ who is my \_\_\_\_\_ (relationship with the client)

[\*Refer to the instructions mentioned below]

\* [Only the mobile no./email of your spouse, dependent children and dependent parents can be registered in your demat account]

FIRST/SOLE HOLDER SIGNATURE [13]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		



## TARIFF SHEET

DATE (DD/MM/YYYY) | | | | | | | |

Dear Sir or Madam,

I/We agree to pay the charges as per following charge structure with RKSX Securities Private Limited

○ Brokerage - Basic 0.05% or RS 20/- per order traded Whichever is lower ; For option Rs. 20 per order traded

● Priority Pack 0.10% or RS 30/- per order traded Whichever is lower ; For option Rs. 30 per order traded

CHARGE HEAD	CHARGES
Annual Maintenance Charges	– For individual Account: Rs. 300/- plus GST (charged monthly @₹25+GST)
Transaction charges Market / Off Market / Interdepository Transactions	– Rs. 13/- plus Rs. 5.50/- (CDSL charges) per scrip.
Pledge Charges Creation / Closure and Confirmation of both	– 0.02% of the transaction charges subject to a minimum of Rs. 50/- plus NSDL / CDSL charges at actual.
Pledge Charges for Invocation	– 0.05% of the transaction charges subject to a minimum of Rs. 50/-
Dematerialization Charges	– Rs 20.00 per certificate plus charges of Rs. 50/- per request.
Rematerialization Charges	– For every 100 shares Rs. 25/- part thereof, subject to maximum 5,00,000 or flat fee Rs. 25/- per certificate, whichever is higher.
SLB Charges	– For Securities Borrowings: Rs. 25/- plus NSDL / CDSL charges at actuals. – For Securities Lending: Rs. 25/- plus NSDL/ CDSL charges at actuals.
Repurchase / Redemption Charges	– Flat Rs. 25/- per transaction plus Depository charges at actuals.
Failed / Rejected Transactions	– Rs. 50/- per transaction.
Demat Rejection Charges	– Rs. 35/- per rejection for every 500 gms.

1. Securities Transaction Tax, Transaction Charges, Stamp Duty, SEBI Turnover Fees, Clearing Member Charges and GST.  
2. 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.

5. Call and trade and square off charges at Rs. 20 will be charged

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.

Adhoc / Non periodic statement requests – Adhoc statement requests: - Rs. 25/- (Rs 500 for foreign address) per request upto 10 pages. Every additional 5 pages or a portion thereof will be charged at Rs. 10/- plus courier /postage charges.

E-Mail Statement - -- Periodic Bills and Transactions statements and other communications will be sent by email, only. Terms and Conditions for the same to be mandatorily executed. Requests for physical statements will be charged as mentioned above.

Cheque Bounce charges - – Charges will be applied based on charges as determined by our bankers.

**NOTE:** For all purposes the bill date shall be construed as the date of demand and the bills will be considered as the bill cum notice for payment and RKS V Securities India Pvt. Ltd. reserves the right to Freeze Depository account for debit transaction in case of non payment of charges after two days from the bill date.

Interest @ 13% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any be intimated 30 days in advance. GST and other taxes applicable on all above charges.

FIRST/SOLE HOLDER SIGNATURE [14]		SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
			

## POWER OF ATTORNEY (VOLUNTARY)

KNOW ALL MEN BY THESE PRESENTS THAT I/WE Mr. / Mrs. / M/s (first holder) \_\_\_\_\_

(Second Holder) \_\_\_\_\_

(Third Holder) \_\_\_\_\_

an Individual/ a sole proprietary concern/ a partnership firm /a body Corporate/trust, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the companies Act 1956 or any relevant Act, having his/her/its residence/registered office/place of business at \_\_\_\_\_

(hereinafter referred to as “ Beneficial Owner “) wish to avail / have availed the broking/ E-broking facilities and other services offered (hereinafter referred to as “ Services”), by RKSVM Securities India Private Limited (hereinafter referred to as “RKSVM”) company incorporated under the companies Act 1956 and having its Corporate office at “30th Floor, Sunshine Tower, Senapati Bapat Marg, Dadar(W), Mumbai-400013” and is a Member (Trading Member) of The National Stock Exchange of India Limited (NSE), Bombay Stock Exchange limited (BSE) and Metropolitan Stock Exchange of India Limited (MSEI) Respectively (hereinafter referred to as “the Exchange”) and is also a “Depository Participant” registered with Central Depository Services (India) Ltd (CDSL).

### WHEREAS

A. The Client is desirous of investing in Securities and has opened / is in the process of opening an account for the purpose of availing stock broking, depository participant, distribution of mutual fund units, other third party financial products, if any and/or other services including but not limited to trading through internet broking services offered through the RKSVM web portal.

B. RKSVM has furnished the particulars of various beneficial owners account and the bank account in the scheduled attached hereto where the funds and the securities will be moved and further the client has agreed that RKSVM is entitled to modify the said particulars from time to time after informing the client about the same.

C. In the course of availing the services and for meeting the settlement Obligation thereof on the Exchanges, I/We do hereby nominate, Constitute and appoint M/s. RKSVM Securities India Private Limited (Member Broker), Hereinafter referred to as “RKSVM” acting through their Directors and/or duly authorised staff for the purpose, as my/our true and lawful attorneys for my depository account with RKSVM Securities India Private Limited (Depository Participant) DPID **12081800**

Client ID \_\_\_\_\_ to execute and perform severally the following acts, deeds, matters and things, provided the attorney complies with all applicable conditions of all or any of their services offered by them in their capacity as stock Brokers.

1. To operate depository account(s) for the purpose of transferring any collateral to the margin account and honouring delivery obligations for any transaction executed with RKSVM which is registered as a Depository Participant and a stock broker registered with Securities and Exchange Board of India (SEBI).
2. To Sign instruction on my behalf with respect to debit / credit the depository account(s) for the credit or benefit of my/our account with RKSVM, for the transactions carried by me/us with RKSVM.
3. To issue instructions relating, executing delivery/receipt instructions, pledge creation instructions, pledge closure instructions, lending and borrowing instructions, to operate the depository account by issue and receipt of instructions for the above mentioned purpose and such other authorization given by me/us severally on behalf of all of us, or all/any of us jointly, in any electronic form, in any format and at any time either through the portal of RKSVM or through the internet will be validly constituted attorney to intimate the same to the Depository participant for the purposes of debiting or crediting my account opened with the Depository Participant.
4. To validate on my/our behalf any such instruction so given to the Depository Participant(S), in written/physical or other form as may be required by the concerned depository participant.
5. For these purposes and to this extent, RKSVM is empowered by me/us, to affix their signatures to any document, form or any other record, being a delivery participant, as required by the concerned depository.
6. To transfer funds from the bank account for recovering any outstanding amount due from me/us arising out of our trading activities on the stock exchange through RKSVM.
7. I/We also undertake to pay such demat charges/fees and such other charges incurred by RKSVM under this Power of Attorney and that I/ We further authorize RKSVM to debit my/our account with RKSVM with the said charges as and when the same becomes due for payment and I/we hereby undertake to pay the same immediately on demand made by RKSVM.
8. To enter into correspondence with market participant with respect to any transaction in any Investment Products.
9. To forward all such applications placed through the web site to the online -IPO module of the concerned Exchange or owner / issuer of “Investment Product”.
10. To receive intimation from the Exchange and any other party regarding the allocation / allotment / rejection / regret of the securities or such other “Investment Product” applications / subscriptions / withdrawal or any other communications.
11. To authorize RKSVM to invest on behalf of me/us and to hold the mutual fund/ asset management company(ies) based on the request given by me /us. I confirm not to hold such mutual fund/asset management company / RKSVM liable for any transaction processed based on my/our request to correspond with and give notice to the corresponding asset management company / body corporate(s) / issuer / registrar and transfer agent of securities including giving instructions with regard to nomination/change in investment plans/ any other changes that may be necessitated pursuant to the authorization given by me/ us to RKSVM in this regard.
12. To transfer funds from the bank account for meeting obligations arising out of my/our subscribing to such other products/facilities/services through RKSVM like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares in etc.
13. To deposit/ transfer on allotment, the securities, debentures, units of the mutual funds and/or all other investments products applied through RKSVM, on allotment, to my/our Beneficial Owner Demat Account opened for the purpose with the RKSVM-DP.
14. To do all other acts and things as may be necessary to affect the subscription/purchase/redemption or any other transaction in any investment Product for which services are availed from RKSVM.

**FIRST/SOLE HOLDER SIGNATURE [15]**

**SECOND HOLDER SIGNATURE**

**THIRD HOLDER SIGNATURE**

X

15. To debit my Trading account towards monies/fees/charges etc. payable to RKSVM or to a market participant Service provider or to any of the affiliates/subsidiaries of RKSVM by virtue of I/We using /subscribing to any of the facilities/service provided either by RKSVM or through a third party service provider or by any other security or financial instrument on behalf of me/us through RKSVM or any market participant. To bind ourselves with respect to any instruction given by first holder or any other holder to RKSVM.

16. In case of any erroneous transfer done by attorney, the attorney may return the same to my account as soon it comes to their notice.

17. To send the consolidated summary of client wise scrip wise buy and sell position with average rates by email.

18. To authorize RKSVM to transfer the securities to any of the demat accounts of RKSVM as mentioned in Annexure B.

19. To do or omit to do all such act and things as TSL may in its discretion consider to be necessary or desirable in order to exercise its power hereunder or comply with any law, order rules, regulations or directions of any government or regulatory or other authorities.

20. We the joint holders of demat account agree ,ratify and confirm to bind ourselves to any instructions given by the client herein above mentioned who shall be the exclusive beneficiary of the transactions carried out pursuant to this Power of Attorney in favour of the Director/(S) and/or the Authorized Signatories, who have in token thereof, subscribed their signature thereto.

That the Power of Attorney herein referred to is revocable at any time without notice subject to such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out prior to receiving request for revocation of POA. That, I/We hereby declare that all the actions taken by my/our above mentioned attorney(herein RKSVM) in this regards shall be deemed to be action done by me/us and if necessary shall be ratified by me/ us on the instruction of the said attorney and that such actions will be binding on me/us. I/We agree that RKSVM is entitled to credit the proceeds of any instruction. This document shall be subject to the jurisdiction of the courts in New Delhi. In witness whereof I/We have executed this revocable Power of Attorney on the day, date and year herein below mentioned.


#### ANNEXURE B

PARTICULARS	DP ID	CLIENT ID
CDSL BSE PRINCIPAL A/C	16014800	00283859
CDSL NSE POOL A/C	16014800	00282534
CDSL CLIENT MARGIN A/C	12081800	00011954

PARTICULARS	DP ID	CLIENT ID
CDSL NSE EARLY PAY-IN A/C	11000011	00019441
CDSL BSE EARLY PAY-IN A/C	11000010	00022152

Dated at Mumbai on this \_\_\_\_\_ day of \_\_\_\_\_

SIGNED AND DELIVERED by the within names the Beneficial Owner

FIRST/SOLE HOLDER SIGNATURE [16]	SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
		

<b>Witness 1</b>
NAME:
ADDRESS:
SIGNATURE:

<b>Witness 2</b>
NAME:
ADDRESS:
SIGNATURE:

#### FOR OFFICE USE ONLY

**We Accept**

**SIGNED AND DELIVERED by the within named the Participant:**

**by the hand of its authorized representative:**

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

**Authorised Signatory**

## 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,

FIRST/SOLE HOLDER SIGNATURE [17]		SECOND HOLDER SIGNATURE	THIRD HOLDER SIGNATURE
			

DATE (DD/MM/YYYY)

| 0 | 9 | 0 | 2 | 2 | 0 | 2 | 1 |

## DECLARATION FOR NAME MISMATCH

(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

<b>Name as per Income Tax</b>	SUNIL SURESH KUMBHAR
<b>Name as per Bank Proof</b>	Sunil Suresh Kumbhar
<b>Name as per Address Proof</b>	
<b>Name as per Income Proof</b>	

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep RKSVM Securities India Pvt. Ltd. / RKSVM Commodities India Pvt. Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by RKSVM Securities India Pvt. Ltd. / RKSVM Commodities India Pvt. Ltd. for any act done or omitted to be done on the above declaration.

**CLIENT'S SIGNATURE [12]** **X**



## Trading and Settlement Process Acquaintance scheme

The Trading and Settlement Process Acquaintance scheme shall be referred to as TSPA for short.

With an intention to make you aware of the process of trading and settlement of the Stock Exchange, Depository, Stock Broker, and Depository participant, you are being offered the TSPA, whereby up to Rs. 100/- worth of securities—listed on BSE/NSE will be purchased on your behalf and added to your account. This stock is offered to you, free of charge, and you will, hence, not be required to pay any charges to RKSV Securities India Pvt. Ltd (Upstox).

The goal of TSPA is only to make you (our customer) aware of the various processes involved in the stock market. It includes the following:

1. Purchase of a security from the Stock Exchange
2. Receipt of contract note, daily margin statements, etc.
3. Direct trade confirmations from Exchange
4. Posting of purchase entries in your ledger
5. Receipt of shares in your demat account and its maintenance with Upstox, for future obligations of trades and margin

### Terms and Conditions:

1. TSPA is valid for select clients only. Clients will be chosen at the sole discretion of Upstox
2. Under TSPA, the security will be bought from BSE/NSE
3. Within 5 trading days of the purchase of security in your account under TSPA, you will have to either to carry out transactions (purchase/sale) of any segment of BSE/NSE or pay outstanding account opening fees (if applicable)
4. After you have executed the above (clause 3) as aforesaid, a credit equivalent to the cost of purchase of security under TSPA will be credited into your account, thus resulting in settling the debit balance in your account because of purchase of shares under TSPA
5. If you fail to execute the transactions or fail to pay outstanding account opening fees (if applicable) as per clause 3, Upstox will sell the securities purchased under TSPA and recover the debit balance caused due to purchase under TSPA. Profit on sale of shares purchased under TSPA, if any, will remain as a credit balance in your account. Loss due to sale of security purchased under TSPA, if any, will be borne by Upstox
6. The terms and conditions for TSPA are subject to change without any prior notice
7. TSPA cannot be clubbed or interchanged with any other offers without the prior approval of Upstox
8. **Through this document, you are hereby instructing Upstox to purchase securities to an extent aforesaid and sell them back if the conditions of clause 5 are met**
9. Upstox reserves the right to discontinue TSPA without prior notice
10. You accept that you do not have any legal right to enforce implementation of obligations under TSPA on Upstox

Please accord your consent to avail TSPA or otherwise by signing the column below:

I want to avail TSPA \_\_\_\_\_



# Terms and Condition

Terms and Conditions for Opening 3-in-1 account with RKSV Securities India Pvt. Ltd. / RKSV Commodities India Pvt. Ltd. (herein referred to as Upstox) and Indusind Bank Limited (herein referred to as IBL)

I hereby agree on terms and conditions mentioned herewith to avail the benefits of 3-in-1 account offered by Upstox and IBL and hereby give my consent on the same.

**1. Sharing of data with IBL:**

I hereby agree and authorize Upstox to share details provided by me, at the time of opening a Trading / Demat account, with IBL for opening a Bank account with IBL.

**2. Sharing data with Upstox:**

I hereby agree and authorize IBL to share details provided by me, at the time of opening a Bank Account, with Upstox for opening a Trading and Demat account.

**3. Making IBL Saving Account the primary Account in Trading:**

I am aware that while opening a Trading account with Upstox, it is required that my primary bank account be linked will be the IBL Savings Account and on the basis of which my IBL bank account will be opened. As a process I am aware that opening of IBL bank account may take some time, hence I hereby confirm and request Upstox to make IBL as my primary bank account on confirmation of opening and activation of the same.

**4. Using of Bank Statement provided by IBL:**

I hereby agree that the Bank statement provided by IBL to Upstox is valid and hereby give my consent to Upstox to use the same as a valid proof of Bank Details, Address Proof and Financial details. I also understand that Upstox may ask for additional documents as financial detail at its discretion and I shall be bound to make good such request.

Since said documents provided by IBL is in original form, there is no need for my self-authentication / self-attestation (apart from this consent) and verification against originals.

## **General Terms and Conditions.**

1. I understand Opening of a 3 in 1 account shall be at the sole discretion of Upstox and IBL.
2. I understand that Upstox or IBL shall be under no obligation to disclose their reason for denial of the 3 in 1 account to myself.
3. I understand that during the existence of the 3 in 1 account, Upstox or IBL may ask

for any details or Proof to satisfy any exchange / regulatory requirement or regulator's request and that I shall be under the obligation to provide such details/proofs to Upstox.

## **Other Terms and Conditions.**

### **1. Primary Bank Account**

I understand and am aware that the IBL bank account opened shall be linked as my primary bank account only with my trading account and not Demat Account. I understand that if I wish to link the IBL bank account as a primary bank account with my Demat Account, I shall be required to compulsorily issue a modification form with Upstox along with the required document/s.

### **2. Lien Marking and settlement:**

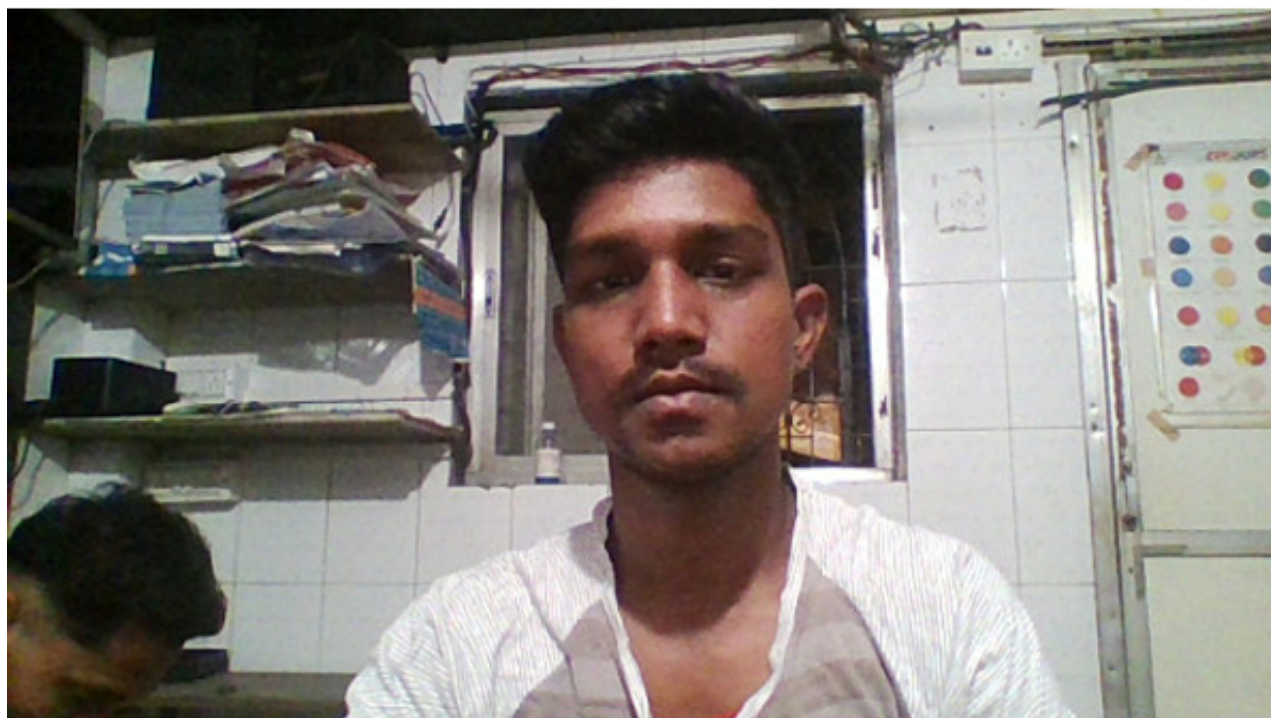
- a. I hereby declare and agree that as and when I need to execute a transaction, I have the option to mark lien on funds lying in my IBL Savings Bank account (mapped with Upstox).
- b. I am aware that the lien marking facility is not available against my commodity Trading Account.
- c. I am aware that said facility is online wherein there is no control of Upstox on lien mark and its purely dependent on IBL to either accept or reject the lien. I am aware that unless my lien amount is confirmed by IBL, no limit will be given to me for the further transaction by Upstox.
- d. I am aware and hereby authorize Upstox to instruct IBL for transfer of funds from my Bank account to Upstox trading account (subject to a maximum of day-end debit balance across all the segments, Pay-in obligation, including margins, if any)

### **3. Fund transfer from Upstox to IBL for Bank Activation:**

- a. I hereby agree and authorize Upstox to transfer fund to IBL for activation of my IBL account. I am aware that responsibility lies with IBL to give credit to my IBL Saving Account opened with them and Upstox cannot be called on for the same.
- b. In case of any technical problem, Upstox reserve all the rights to take entire amount marked as lien by the client.
- c. In case any excess amount received from above then, credit to that extent will be passed back to the client in their ledger account and client can withdraw the fund.

#### **4. Reward Points:**

- a. I agree that the conversion rate of Reward Points to Brokerage Credit is solely an understanding between myself and at the discretion of IBL and Upstox shall not be held liable for that matter by myself. This may change from time to time.
- b. I understand that calculation and crediting of reward points shall be the sole responsibility of IBL.
- c. I agree that the reward points that shall be redeemed could be utilized by myself only against Brokerage charges that shall be payable to Upstox.
- d. I understand and agree that only on approval of my redemption request and sharing of such information with Upstox by IBL, will Upstox credit my Trading Account with the requisite amount.



*[Handwritten signature in blue ink]*



I wish to register the mentioned signature as authorized signature for all activities and correspondence with RKS V/Upstox

Signature as per our records