

Client Registration Form



RBC Financial Services Pvt. Ltd.

INDIVIDUAL

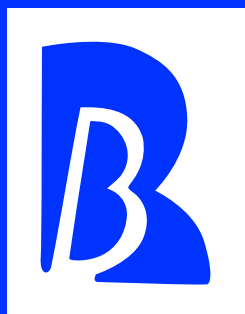
MINOR

HUF

CORPORATES

PROPRIETORSHIP FIRM

PARTNERSHIP FIRM



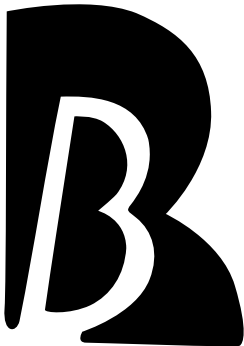
Client Name: _____

Client Code: _____

Branch: _____

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1 to 5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	6 to 9
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	As per separate Booklet Page 1-8
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	10 to 13
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	14
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7.	Acknowledgement from Client	Acknowledgement	14
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RBC FINANCIAL SERVICES PVT. LTD.

SEBI REGN NO.:	DATE
NSE Cash-INB230771333	30/08/1995
NSE F&O-INF230771333	02/06/2000
NSE CDS-INE230771333	28/08/2008
BSE Cash-INB010771336	13/12/2010
BSE F&O-INF010771336	13/12/2010
MCX-SX - INE260771333	30/09/2008
USE - INE270771335	13/12/2010

28, Prakash Apartments, 05, Ansari Road, Darya Ganj, New Delhi – 110002
 Ph. No.: 011 - 45737475 (30 Lines) • Fax : 011 – 45737499
 Email: rbcfin@vsnl.com • Website: www.rbcfin.com

Compliance Officer's Details

Name : Rajiv Gupta Phone No. : +91-011-45737475
 E-mail Id : rajiv@rbcfin.com

CEO's Details

Name : Rajiv Gupta Phone No. : +91-011-45737475
 E-mail Id : rajiv@rbcfin.com

For any grievance/dispute please contact **RBC FINANCIAL SERVICES PVT. LTD.** at the above address or email id- **rajiv@rbcfin.com** and Phone no. 45737475. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name	E-mail ID	Phone No.	
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-23344313	Toll Free : 1800 22 0051
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-41510481	
MCX Stock Exchange Ltd.	investorcomplaints@mcx-sx.com	011-43560050	
United Stock Exchange Ltd.	investorcomplaints@useindia.com	011-43007413	

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

FOR INDIVIDUALS

A. IDENTITY DETAILS

1. **Name of the Applicant** :

2. **Father's/Spouse Name** :

3. **a. Gender** : Male Female **b. Marital Status** Single Married
c. Date of Birth :

4. **a. Nationality** :
b. Status : Resident Individual Non Resident Foreign National

5. **a. PAN** :
b. Aadhaar Number, if any :

6. **Specify the proof of Identity submitted** :

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

Correspondence Address

Residence Address

1. **Residence / Correspondence Address** :
 City/Town/Village : Pin Code :
 State : Country :

2. **Contact Details** : Tel. (Office) : Tel. (Res.) : Mobile :
 Fax : E-mail :

3. **Specify the proof of address submitted for residence/correspondence address** :

4. **Permanent Address** :
 (if different from above or overseas address, mandatory for Non-Resident Applicant)
 City/Town/Village : Pin Code :
 State : Country :

DECLARATION

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

Signature of the Applicant  _____

Date :

FOR OFFICE USE ONLY

Sr. No.	Particular
1.	<input type="checkbox"/> Originals verified and Self-Attested Document copies received
2.	In-Person-Verification (IPV) details:
	a) Name of the person doing IPV
	b) Designation
	c) Name of Organization
	d) Signature
	e) Date

Date :

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

FOR NON-INDIVIDUALS

A. IDENTITY DETAILS

1. **Name of the Applicant** :

2. **Date of incorporation** :

& Place of Incorporation:

3. **Date of Commencement of Business** :

4. **a. PAN**

b. Registration No. (e.g. CIN) :

5. **Status (please tick any one)** : Private Limited Co. Public Ltd. Co. Body Corporate Partnership

Trust Charities NGO's FI FII HUF AOP

Bank Government Body Non-Government Organization Defense Establishment

BOI Society LLP Others (please specify).....

Please affix your recent passport size photograph and sign across it

B. ADDRESS DETAILS

1. **Address for** :

Correspondence City/Town/Village : Pin Code :

State : Country :

2. **Contact Details** : Tel. (Office) : Tel. (Res.) : Mobile :

Fax : E-mail :

3. **Specify the proof of address submitted for correspondence address** :

4. **Registered Address:**

(if different from above) City/Town/Village : Pin Code :

State : Country :

C. OTHER DETAILS

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors

Name (1) :

PAN :

Residential :

Address City/Town/Village : Pin Code :

State : Country :

DIN / UID : Aadhaar Number

Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors

Name (2) :
PAN :
Residential :
Address City/Town/Village :Pin Code :
State : Country :
DIN / UID : Adhaar Number
Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors

Name (3) :
PAN :
Residential :
Address City/Town/Village :Pin Code :
State : Country :
DIN / UID : Adhaar Number
Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors




Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors

Name (4) :
PAN :
Residential :
Address City/Town/Village :Pin Code :
State : Country :
DIN / UID : Adhaar Number
Any Other Information :

Photographs of Promoters/Partners/ Karta/ Trustees and whole time directors

DECLARATION

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

Name : Signature of the Authorised Signatory/ies 
Signature of the Authorised Signatory/ies 
Signature of the Authorised Signatory/ies  Date :

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

Date :
Name & Signature of the Authorised Signatory Seal/Stamp of the Intermediary

A. IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. 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.
11. 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. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/

Debit cards issued by Banks.

C. Proof of Address (POA)

List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/ 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 FII/sub-account to the Custodians (which are duly notarized and/ or apostiled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. Aadhar Letter issued by Unique Identification Authority of India (UIDAI) is admissible as proof of address.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies

Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

the copy).

2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

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

TRADING ACCOUNT RELATED DETAILS

MANDATORY

ANNEXURE-3

FOR INDIVIDUALS & NON-INDIVIDUALS

A. BANK ACCOUNT(S) DETAILS

Bank Name (1) :
Branch Address :
 City/Town/Village : Pin Code :
 State : Country :
Bank Account No. :
Account Type : Saving Current Others - in case of [NRI NRE NRO]
MICR Number :
IFSC Code :

Bank Name (2) :
Branch Address :
 City/Town/Village : Pin Code :
 State : Country :
Bank Account No. :
Account Type : Saving Current Others - in case of [NRI NRE NRO]
MICR Number :
IFSC Code :

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name (1) :
Depository Name : NSDL DP ID :
 CDSL DP ID :
Beneficiary Name :

Depository Participant Name (2) :
Depository Name : NSDL DP ID :
 CDSL DP ID :
Beneficiary Name :

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.

Exchanges	Segments				
NSE	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>	
	Currency Derivatives	<input type="checkbox"/>		Mutual Fund	<input type="checkbox"/>
BSE	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>	
	Mutual Fund	<input type="checkbox"/>			
MCX-SX	Cash	<input type="checkbox"/>	F&O	<input type="checkbox"/>	
USE	Currency Derivatives	<input type="checkbox"/>			

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.

D. OTHER DETAILS

Gross Annual Income Details (please specify):
 Income Range per annum Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5- 10 Lac ₹ 10-25 Lacs Above ₹ 25 Lacs
 OR Net-worth as on
Occupation (please tick any one and give brief details)
 Private Sector Public Sector Government Service Business Professional Agriculturist
 Retired Housewife Student Others _____
Please tick, If applicable Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
Any Other Information :

I. 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 of Nominee :

City/Town/Village :Pin Code :

State : Country :

Phone No. :

Signature of nominee : 



If Nominee is a minor, details of guardian

Name of Guardian :

Address of Guardian :

City/Town/Village :Pin Code :

State : Country :

Phone No. :

Signature of Guardian :

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

1st Witness

Name :

Signature :

Address :

.....Pin Code :

2nd Witness

Name :

Signature :

Address :


.....Pin Code :

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.

Place :

Date :



Signature of Client / (all) Authorised Signatory (ies)

FOR OFFICE USE ONLY

Kra No.

Upload/Download

Verified by

UCC Code allotted to the Client :

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

Account Opened by : Date :

Exchange acted & Mapped by : Date :

Rechecked by : Date :

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.

Name & Signature of the Authorised Signatory

Date

Seal/Stamp of the Stock Broker

ADDITIONAL INSTRUCTIONS/ CHECK LIST FOR DERIVATIVES

1. Additional documents in case of trading in derivatives segments - illustrative list:
 - Copy of ITR Acknowledgement
 - Copy of Annual Accounts
 - In case of salary income - Salary Slip, Copy of Form 16
 - Net worth certificate
 - Copy of demat account holding statement.
 - Bank account statement for last 6 months
 - Any other relevant documents substantiating ownership of assets.
 - Self declaration with relevant supporting documents.
 - * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For Individuals**
 - a. 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.
 - b. 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.
5. **For Non-Individuals**
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

1. Refusal of orders for penny stocks:

RBC shall have the absolute discretion to accept, refuse or partially accept any buy or sell order for execution from a client in respect of penny stock, illiquid stocks having low liquidity, illiquid "options", far month "option" writing of "options", stocks in S, Z and B2 Category and any other contracts which as per the perception of stock Broker are extremely volatile or subject to market manipulation.

Stock broker is advising to the clients not to deal in penny securities and if client deals with the penny stocks, 100% margin will be taken from the client and these shares will not be taken to as Margin deposit. The stock broker shall have authority from time to time limit (quantity/ value) or refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies) or may require compulsory settlement / advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance / placement of order(s) as well, the order being for securities which are not in the permitted list of the stock broker / exchange(s) / SEBI or does not commensurate with the risk profile of the client as assessed by the broker. Decision of Broker will be binding on the client and will be final.

2. Setting Up Client's Exposure Limits:

The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time. The client is aware and agrees that the stock broker may need to vary or reduce or impose new limits urgently on the basis of the stock broker's risk perception, risk profile of the client and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.).

In case margin is kept in securities, Broker would value these securities after applying such haircut as it deems appropriate. Similarly for providing exposure to client, Broker can pledge such securities in favor of clearing member/ Clearing Corporation or Bank.

The stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits.

Sometimes client's sauda may go to IOC (Immediate or Cancel) instead of normal bidding if broker terminal is on square off mode.

The Stock Broker at its sole discretion can give extra exposure or intraday limit to the client, such extra exposure will automatically be squared off by trading mechanism without any further reference to the client appx. 15 minutes before the scheduled closing.

3. Applicable Brokerage Rate:

Brokerage shall be applied as per the rates agreed upon with the client in the KYC at the time of registration of the client and/or subsequently through a written agreement between client and RBC . The rate of Brokerage shall not exceed the maximum brokerage permissible under Exchange bye-laws.

The slab rates of brokerage fixed by RBC are function of the quality and cost of services provided to the client and the volume and revenue expected from an account. It shall be reviewed by the RBC from time to time and may be increased with prospective effect at a notice of 15 Days sent to the E-mail address or postal address of the client registered with RBC .

The brokerage shall however be exclusive of the following:

- DP Annual maintenance charges
- DP transaction charges/Pledge/Re-pledge/Demat/ Re-mat Charges
- DP Inter settlement charges
- Account Opening Charges
- Delayed payment charges
- Penalties levied by Exchange
- Research advisory charges
- Courier charges
- Bank charges towards the cheques received unpaid
- DP, Bank and other processing charges towards periodic settlement of Funds/Securities on periodic basis.
- Statutory charges payable to Exchange/SEBI/Govt. Authorities etc.
- SEBI/Exchange/Clearing Member Turnover charges
- Other out of pocket and services related charges

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period (This must not result in funding by the broker in contravention of the applicable laws)

Client shall be liable to penalty and other charges on nonpayment of margin money, short selling of securities or

units, failure on payment of auction, cheque bounce, non delivery of shares, increase open position or on any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force as per Rules, Regulations, Guidelines and Circulars issued by SEBI and stock exchange time to time and client will be kept informed about the rate of such penalties & fines. Similarly in case of non receipt of full payment of value of delivery purchased, margin imposed (initial + MTM) interest will be charged at 21% p.a. calculated on daily basis on shortfall amount till the date of actual realization of money.

However, broker will not pay any interest on unutilized margin or balance in trading Account of the clients. In case of repeated violation by client, additional penalty (as disclosed on website) will be levied.

All fines/penalties and charges levied upon the Client due to its acts / deeds or transactions will be recovered by the Stock Broker directly from the client's account.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation)

RBC shall have right to sell client's securities, both unpaid as well as collaterals deposited towards margins, or close out client,s open positions, without giving notice to the client where there is a delay/failure of the client to meet the pay-in obligations and /or there is a failure of the client to bring additional margin to cover the increase in risk in the dynamic market conditions.

a. Unpaid Securities in Capital Market:-

- i. In case of unpaid obligation on T+3, RBC may sell the unpaid/ partially paid securities. In addition RBC may sell the collaterals deposited by the client towards margin and/or paid securities purchased by the client in earlier settlements where the sale of proceeds of unpaid securities are inadequate to cover the pay-in obligations and where the unpaid securities appear to be comparatively illiquid and cannot be sold at reasonable rates to the extent required.
- ii. RBC may follow the LIFO method for liquidation of securities but it shall not be binding on it to follow this method in all cases.

b. The Margin Shortfall in F&O:-

- I. Positions of the client may be closed out to the extent

of margin shortfall on the T+1 basis.

- II. While computing margin shortfall, Value of unapproved securities shall not be considered.
- III. As per the current Exchange requirements, the member Broker is required to maintain a 50:50 ratio between cash and collaterals margin deposited with the Exchange. RBC shall therefore have the prerogative to insist for at least 50% of margin in cash and may not consider the the value of securities over and above the cash component for the purpose of calculating margins shortfall and close out the F&O Position wherever it finds the deviation. However, sales made in capital market segment shall not be considered while closing F&O Positions on T+1 basis due to margin shortfall.

C. Intra-day Positions:-

RBC shall have right to close out any intra-day Positions taken by the client after a defined " Cut-off" time (Presently 20 minutes before close of market).

D. General

- i. While selling the securities/ closing the clients positions, RBC may take into account the sales made by the client, Positions closed by the client or collections received from the client till cut-off time (Presently 12.45 pm).
- ii. While selling the Securities/ Closing the clients positions, RBC may not take into consideration cheques/Bank Drafts/ Pay orders deposited by the client with RBC until clear proceeds of such instruments are received by RBC in its bank account.
- iii. RBC shall have the right to sell client's securities or close out client's open positions but it shall not be under any obligations to undertake this exercise compulsorily. RBC shall therefore not be under any obligation to compensate/or provide reasons of any delay or omission on its part to sell client's securities or close open positions of the client.

6. Shortages in obligations arising out of internal netting of trades

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration

(inclusive of all statutory taxes & levies + 5 % extra) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

- b. If securities cannot be purchased from market due to any reason, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange +10% and buyer will be given credit. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/ credits shall be as per Exchange Debits and Credits after deducting exchange penalties.
- c. In case of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by stock broker / exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances.

1. for non-payment or erosion of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations.
2. Any order which is executed without the required Margin in the Client's account or the brokers exposure is more than 90% and above so no fresh trade will be taken.
3. The client hereby authorizes the Stock Broker to square up all his outstanding positions at the discretion of the Stock Broker, which are not marked for delivery 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of exchanges, RBC reserves the right to square off positions.
4. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason as prescribed or instructed by SEBI.
5. The stock broker is entitled to disable / freeze the account

or trading facility / any other service if, in the opinion of the stock broker, the client has committed a crime, fraud or has acted in contradiction of this agreement or / evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

Any profit/loss arising out of these transactions shall be at the risk of and borne by the client.

8. Temporarily suspending or closing a client's account at the client's request

Client may instruct the member to close out the account or suspend the trading through client's account for the period as specified in the request in written and duly signed by him. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

RBC may carry a periodic review of the client accounts and may suspend the accounts from Trading in the following circumstances:-

- Where the client is inactive for more than 6 months
- Physical contract notes are received back undelivered due to reasons like "no such person" , "addressee left", refusal to accept mails, POD's signed by the third persons, signature mismatch on POD's or other reasons which may create suspicion.
- ECN failed (Bounced email) on more than 3 instances until client submits and registers new email id.

9. Deregistering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- iii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the

- security transactions;
- iv. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
 - v. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Stock broker;
 - vi. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar

device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the stock broker; by publishing / displaying it on the website of the stock broker / making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc.; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/ us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/ mediator etc.

I further undertake to adhere to the procedures & code of ethics prescribed by SEBI/Exchanges in this regard. Broker shall not be responsible for any transactions entered by the client in their personal capacity with the employees of broker, if any.

 _____

TARIFF SHEET

Clinet Code : _____ Client Name : _____

CAPITAL MARKET SEGMENT				
	NSE		BSE	
	in %age terms	Minimum Paise (per share)	in %age terms	Minimum Paise(per share)
Intraday				
Delivery				
Trade to Trade				
FUTURES & OPTIONS SEGMENT				
	FUTURES		OPTIONS	
	in %age terms	Minimum paise (per unit)	₹ Per Lot	
NSE				
BSE				
CURRENCY DERIVATIVES SEGMENT				
	in % age terms	Minimum ₹ (per lot)	Flat Brokerage ₹ (per lot)	
NSE				
MCX-SX				
USE				
MUTUAL FUNDS SEGMENT				
	NSE		BSE	
	in %age terms	Minimum ₹ (per unit)	in %age terms	Minimum ₹ (per unit)

* Transaction Charges, Service Tax, STT, Stamp Duty, Other Govt. Levies are extra.
 One Time Account Opening Charges (Rs.).....
 Recurring Charges : Monthly..... Quarterly..... Half Yearly..... Yearly.....
 * in case of physical contract notes, Rs. 25/- per contract note will be charged towards postage charges.



ACKNOWLEDGEMENT FROM CLIENT

VOLUNTARY

RBC FINANCIAL SERVICES PVT. LTD.

28, Prakash Apartments, 05, Ansari Road, Darya Ganj, New Delhi – 110002

Ph.: 011 - 45737475 (30 Lines) • Fax : 011 – 45737499 • Email: rbcfin@vsnl.com • Website: www.rbcfin.com

I/We hereby acknowledge the receipt of duly executed copy of KYC, Annexures 4, 5, 6 as perscribed by SEBI circular dated 22 August, 2011 and all other documents as executed by me/us. Further I/we confirm that the documents for KYC submitted by me/us are true and correct. I/we acknowledge that the other details related to my/our account are as under:

Trading Code UCC

My E-mail id



(Signature of client)

RBC FINANCIAL SERVICES PVT. LTD.

Trading & Clearing Member NSE & BSE

Trading Member MCX-SX & USE

28, Prakash Apartments, 05, Ansari Road, Darya Ganj, New Delhi – 110002

Ph. No.: 011 - 45737475 (30 Lines) • Fax : 011 – 45737499

Email: rbcfin@vsnl.com • Website: www.rbcfin.com

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

we beg to say that the first signatory to this letter, i.e.,is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the DP from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners

In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform the DP of the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the currency of the account.

Name & signature of Karta

Name..... Signature.....

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

S. No.	Name	Signature.....
1.
2.
3.
4.

Name & Date of Birth of Minor-Co-parceners

S. No.	Name	Date of Birth	Guardian's Signature
1.	Signature.....
2.	Signature.....
3.	Signature.....
4.	Signature.....

घोषणा

मैं.....यह घोषणा करता/करती हूँ कि मैंने आर. बी. सी. फाईनेनशियल सर्विसेज प्राइवेट लिमिटेड में अपना शेयर ट्रेडिंग (सीएम/एफओ/सीडीएस) का खाता खोला है। उसके लिए एकाउन्ट ओपनिंग फार्म (के.वाई.सी.) और विभिन्न कागजातों पर हस्ताक्षर किया है जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं आर. बी. सी. फाईनेनशियल सर्विसेज प्राइवेट लिमिटेड के नियम व शर्तों से सहमत हूँ। मुझे के.वाई.सी. फॉर्म की कॉपी, अनुच्छेद 4, 5, 6 सहित मिल गई है।



हस्ताक्षर

To,

RBC FINANCIAL SERVICES PVT. LTD.

Trading & Clearing Member NSE & BSE

Trading Member MCX-SX & USE

28, Prakash Apartments, 05, Ansari Road, Darya Ganj, New Delhi – 110002

Ph. No.: 011 - 45737475 (30 Lines) • Fax : 011 – 45737499

Email: rbcfin@vsnl.com • Website: www.rbcfin.com

Sub : Letter of Authority - NSE / BSE / MCX-SX/USE (All Segment)

I/We am/are dealing in securities with you at NSE/BSE Capital Market Segment and Derivatives Segment and in order to facilitate ease of operations. We authorize you as under :

1. Running Account Authorisation:

I/We am/are/ shall be maintaining a trading account with you for the purpose of doing trading transactions through you as my/our broker. I/We have been / shall be dealing on the Capital Market Segment, Futures & Options Segment and/or Currency Derivative Segments of NSE/BSE/MCX-SX and/or USE. As my/our broker i.e. agent I/we direct and authorize you to carry out trading / dealing on my/our behalf as per instructions given below.

I/We authorize you to setoff outstanding Funds and/or Securities in any of my/our accounts against credit balances of Funds and/or Securities available or arising in any other accounts maintained with you by me/us and /or against the value of cash margin or collaterals shares provided to you by me/us, irrespective of the fact whether such credit balances in my/our accounts pertain to different trading segments of the same Stock Exchange or of different Stock Exchanges.

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

Therefore, I/we hereby direct and authorize you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds of exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/dealings. Similarly, where I/we have to receive securities / funds in settlement of trades / dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin / collateral for my/our dealing / trading.

In the event I/We have outstanding obligations on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While setting the account please send a 'statement of accounts' containing an extract from ledger of funds and extract from the register of securities displaying all receipts / deliveries of funds / securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I/We state that if I/We fail to bring any dispute arising from the statement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be, in writing by delivery of letter at your registered office then in that event the statement of account or settlement so made shall attain finality. Further, do not carry out settlement of running account running account referred to above for funds given by me/us towards collaterals / margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I/We am/are entitled to revoke this authorization at any time. I/we shall be liable for all losses, damages and actions which may arise as a consequence of you adhering to and carrying out my/our directions given above. I/we state that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities / monies in accordance with this authorization.

My / our preference for actual settlement of funds and securities is at least.

Once in a Calendar Quarter Once in a Calendar Month



2. Adjustment of balances in Family Accounts: (At the time of closing or final settlement of account. Not for running account.)

S. No.	Client Code of Family Members/ Associates	Name of Family Members/ Associates	Category	Name of Father / Spouse

I/We authorize you to adjust the credit balance available in my account of any segment against any debit balance of any segment outstanding in the account of above mentioned family members or any other party or company with whom /in which I'm otherwise interested or director in the aforesaid company (Names given below).

.....

.....

3. Telephonic Conversation:

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you. " I/We authorize you to record the telephonic conversations"

4. Electronic Trading:

Trading in exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of you and may result in delay in processing or not processing buy or sell orders either in part or in full. I agree that I shall be fully liable and responsible for any such problems glitch.

5. Fines & Penalties:

All fines/penalties and charges levied upon you by exchanges/regulator due to my acts / deeds or transactions may be recovered by you from my account.


6. Charges & Balance Maintenance:

I/We have a Trading As well as depository relationship with RBC FINANCIAL SERVICES PVT. LTD. Please debit the charges relevant with depository services and courier charges for sending physical documents from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

7. Notwithstanding anything contained in these presents, any amounts which are overdue from the client or a member of the client's family towards trading either in the cash, F&O or derivatives segments or on account of any other reason to the Stock Broker or to any of the Stock Broker's group or associate companies will be charged delayed payment charges at the rate of 1.5% per month or such other rate as may be determined by the Stock Broker. The client hereby authorizes the stock Broker to directly debit the same to the account of the Client at the end of each month. The client also authorizes the Stock Broker to debit charges for depository services to the trading account.

- a. The Client agreed that any outstanding amount in his account or his spouse/relative or any company in which he is director or substantial share holder, shall be adjusted by the stock broker out of credit balance/shares or securities in any other aforesaid account.
- b. In case where client is a company, it authorized adjustments of any debit balance out of credit balance of any other company in which there is atleast one common director or having same share holder or group of share holders having substantial interest or from the credit directors. The company further assures that required permission and resolutions/authorization has been passed as per the law.
- c. Client also agrees that any balance/shares or securities outstanding in his account for purchase & sale of shares/securities etc. would be adjustable inter se company or its segments.

8. The Stock Broker shall send the trade confirmation to the client in form of contract Note, digitally signed contract note or otherwise via mail, email, fax, courier, Registered A.D./ oral communication, putting them on web server or otherwise at the postal address,

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telephone/fax nos. Email addresses intimated by the client to the Stock Broker. In all cases, the Stock Broker reserves the right to determine the validity of the client's objection to the transaction. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation due to any change in the correspondence address of the client not intimated to the Stock Broker in writing.

- 9. The client further undertakes to collect or get collected from the Stock Broker and his/ its agents/ employees and authorized persons the order placement/ Modification slip, order cancellation details, trade confirmation slips and contract notes etc. And agrees to indemnify and hold the trading Stock Broker harmless for any delay in such collection and non-collection by his of his Order placement / modification slip, order cancellation details, trade confirmation slips and contract notes etc. From the office of the trading Stock Broker. The client understands that it is his responsibility to review the trade confirmation, receive/ view/save the contract notes/ digital contract notes. And that all information contained therein shall be binding upon the client.
- 10. The client further agrees and accepts that transmission of document/records/data and information including but not limited to contract notes (including digital contract notes, and other electronic documents) through ordinary post, UPC, courier/ speed post/ registered post / electronic mail i.e email/ electronic mail attachment/ download available from website or fax to his last known business and / or fax no. shall be deemed to have been properly delivered or served even if such communication is returned as unclaimed/ refused/ undelivered.
- 11. The client agrees that the Stock Broker will not be responsible for the non-receipt of the trade confirmation/contract notes or any other data/ information due to any change in the address/ E-mail address etc. not intimated to the trading Stock Broker in writing. The client also understands that he will have to down load the data/information within a week of the trading date and the Stock Broker shall be at liberty to delete old data that is to say data more than a week old from the web server without any notice.

* Strike off the clauses not relevant to you.

Thanking you,
Yours faithfully,

Client Signature


 _____

(DISCLOSURE TO CLIENT)

To,
..... (Fill Client Name & Address)
.....

Sir,
As per exchange notification, we hereby inform you that, we do trading on behalf of client and on our own account also.
Thanks and best regards
For RBC FINANCIAL SERVICES PVT. LTD.

(Authorized Signatory)
I acknowledge receipt of your information that you do client based trading and Pro account trading.

 _____
(Client Signature)



RBC Financial Services Pvt. Ltd.

Trading & Clearing Member NSE, BSE, MCX-SX & USE

CORE VALUES

- ◆ **TRANSPARENCY** : We believe transparency is the only force which can make the small sapling a giant tree.
- ◆ **HONESTY** : Honesty is the Best Policy.
- ◆ **INTEGRITY** : Financial Broker's job is the job of utmost confidence & trust. Even an iota of doubt can rock the

ADVANTAGE RBC FINANCIAL SERVICES PVT. LTD.

- ◆ SMS Alert Service.
- ◆ Electronic Contract Notes.
- ◆ Tie Up With Best in the Industry
- ◆ Wide choice of Trading Platforms
- ◆ Online Banking Gateway.
- ◆ Online Back Office Integration.
End to End Trade Solutions.



RBC Financial Services Pvt. Ltd.

28 Prakash Apartments, 5 Ansari Road,
Darya Ganj, New Delhi-110002
Ph.: 45737475 (30 Lines), Fax : 45737499
E-mail : rbcfin@vsnl.com, Visit us at : www.rbcfin.com