

ACCOUNT OPENING KIT

INDEX

S.No.	Name of the Document	Brief Significance of the Documents	P. No.	Booklet
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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3.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	13	A
4.	Additional information related to Demat Account	A. Document capturing additional information for Demat Account (Individual/ Non-individual) B. Terms & Conditions of SMS Alert - Annexure 2.4 C. Schedule of Charges for Depository Services D. Option Form For Issue of DIS Booklet	15-23	A

RIGHTS AND OBLIGATIONS, RISK DISCLOSURE DOCUMENT (RDD), GUIDANCE NOTE, POLICIES AND PROCEDURES

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6.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	5-7	B
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NON MANDATORY

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RUDRA SHARES & STOCK BROKERS LTD.

Member : BSE, NSE, MSEI

(Clearing No. BSE-3269, NSE-1336, MSEI-59400)

SEBI Regn. No. IN-DP-CDSL-518-2009, DP ID - 12061400

Exchange	Segment	SEBI Regn No.	Regn Date
NSE	CASH	INZ000004937	03 / 03 / 2009
NSE	F&O	INZ000004937	03 / 03 / 2009
NSE	CD	INZ000004937	03 / 03 / 2009
BSE	CASH	INZ000004937	13 / 01 / 2009
BSE	F&O	INZ000004937	30 / 05 / 2011
BSE	CD	INZ000004937	30 / 05 / 2011
MSEI	CASH	INZ000004937	09 / 01 / 2013
MSEI	F & O	INZ000004937	09 / 01 / 2013
MSEI	CD	INZ000004937	18 / 12 / 2008
MCX	Commodity Derivative	INZ 000004937	30 / 03 / 2007
NCDEX	Commodity Derivative	INZ 000004937	12 / 06 / 2007

- ▶ **Regd. Office** : C-100, Sarita Vihar, New Delhi - 110076
- ▶ **Corp. Office** : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)
Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929
E-mail : contactus@rudrashares.com • Website : www.rudrashares.com
- ▶ **Compliance Officer's Details**
Name : Mr. Sumit Kumar Gupta
Phone No. : +91-512-6711047
E-mail Id : compliance@rudrashares.com, sumit.gupta@rudrashares.com
- ▶ **CEO's Details**
Name : Mr. Kishore Kumar Vakil
Phone No. : +91-512-6711000
E-mail Id : kishor.vakil@rudrashares.com

Clearing Member Details:

1. Globe Capital Limited

Regd. Office: 609, Anshal Bhawan, 16, KG Marg, New Delhi-110 001

NSE Currency Derivatives	INZ 000177137
BSE Future & Options	INZ 000177137
MSEI Currency Derivatives	INZ 000177137
BSE Currency Derivatives	INZ 000177137
MSEI Future & Options	INZ 000177137

2. Edelweiss Custodial Services Limited

Regd. Office : Tower 3, Wing B, Kohinoor City Mall, Kohinoor City Kirol Road, Kurla West, Mumbai-400 070

NSE Future & Options	INZ 000177437
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3. Edelweiss Custodial Services Limited

Regd. Office : Tower 3, Wing B, Kohinoor City Mall, Kohinoor City irol Road, Kurla West, Mumbai-400 070

MCX + NCDEX	INZ 000177437
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For any grievance/dispute please contact **RUDRA SHARES & STOCK BROKERS LTD.** at the above address or email id- investorcare@rudrashares.com and Phone No. +91-512-6711047, 3071648 In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name

National Stock Exchange of India Ltd.
Bombay Stock Exchange Ltd.
Metropolitan Stock Exchange of India Ltd.
Central Depository Services (I) Ltd.
Multi Commodity Exchange of India Ltd.
National Commodity & Derivatives Exchange Limited

Email id

ignse@nse.co.in
is@bseindia.com
investorcomplaints@mcei.in
complaints@cdslindia.com
grievance@mcxindia.com
askus@ncdex.com

Phone No.

022-26598190
022-22728097
022-67319000-8933
1800 200 5533
+91-22-67318888
+91-22-66406084

Know Your Client (KYC) Application Form (For Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS



Application No. :

A. Identity Details (please see guidelines overleaf)

1. Name of Applicant (As appearing in support identification document).

Name

Father's/Spouse Name

2. Gender ☐ Male ☐ Female B. Marital Status ☐ Single ☐ Married C. Date of Birth

3. Nationality ☐ Indian ☐ Other (Please specify)

4. Status Please tick (✓) ☐ Resident Individual ☐ Non Resident ☐ Foreign National (Passport Copy Mandatory for NRIs & Foreign Nationals)

5. PAN Please enclose a duly attested copy of your PAN Card

Aadhaar Number, if any :

6. Proof of Identity submitted for PAN exempt cases Please Tick (✓)

☐ UID (Aadhaar) ☐ Passport ☐ Voter ID ☐ Driving Licence ☐ Others

(Please see guideline 'D' overleaf)

PHOTOGRAPH
of
SOLE / FIRST HOLDER

Please affix
the recent passport
size photograph and
sign across it

B. Address Details (please see guidelines overleaf)

1. Address for Correspondence

City/Town/Village Pin Code
State Country

2. Contact Details

Tel. (Off.) (ISD) (STD) Tel. (Res.) (ISD) (STD)
Mobile (ISD) (STD) Fax (ISD) (STD)
E-Mail Id.

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please Specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

City/Town/Village Pin Code
State Country

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ *Latest Bank A/c Statement/Passbook
☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others (Please Specify)

*Not more than 3 Months old. Validity/Expiry date of proof of address submitted

6. Any other information

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place

Date

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

IPV Done ☐ on

AMC/Intermediary name OR code

RUDRA SHARES & STOCK BROKERS LTD.

☐ (Originals Verified) Self Certified Document copies received

☐ (Attested) True copies of documents received

Main Intermediary

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Seal/Stamp of the intermediary should contain

Staff Name

Designation

Name of the Organization

Signature

Date

Note : Please fill & submit separate KYC form with required proofs for all joint holders.

INSTRUCTIONS / CHECK LIST FORM 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. For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCIC 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. PAN card with photograph. This is a mandatory requirement for 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 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 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/ling 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 for all , Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

INSTRUCTIONS / CHECK LIST FORM FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self- attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals,(allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIDCard/OCIC overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers , senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity(POI): List of documents admissible as Proof of Identity:

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

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/ Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- 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.)

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/ling tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCI for all , 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:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

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	- 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	- 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	- 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	- 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	- 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	- 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)	- Copy of SEBI registration certificate. - Authorized signatories list with specimen signatures.
Army/Government Bodies	- Self-certification on letterhead. - Authorized signatories list with specimen signatures.
Registered Society	- 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.

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals

Name of Applicant PAN of the Applicant

1. Name																
PAN						DIN (For Directors) / UID (for Others)										
Residential /Registered Address																
City/Town/Village											Pin Code					
State						Country										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO															

Please affix the recent passport size photograph and sign across it

2. Name																
PAN						DIN (For Directors) / UID (for Others)										
Residential /Registered Address																
City/Town/Village											Pin Code					
State						Country										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO															

Please affix the recent passport size photograph and sign across it

3. Name																
PAN						DIN (For Directors) / UID (for Others)										
Residential /Registered Address																
City/Town/Village											Pin Code					
State						Country										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO															

Please affix the recent passport size photograph and sign across it

4. Name																
PAN						DIN (For Directors) / UID (for Others)										
Residential /Registered Address																
City/Town/Village											Pin Code					
State						Country										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO															

Please affix the recent passport size photograph and sign across it

5. Name																
PAN						DIN (For Directors) / UID (for Others)										
Residential /Registered Address																
City/Town/Village											Pin Code					
State						Country										
Relationship with Applicant (i.e. promoters, whole time directors etc.)																
Whether Politically Exposed	☐ PEP (Politically Exposed Person) ☐ RPEP (Related to Politically Exposed Person) ☐ NO															

Please affix the recent passport size photograph and sign across it



Name & Signature of the Authorised Signatory(ies)

Date / /





ADDITIONAL INFORMATION FOR CENTRAL KYC REGISTRY | Know your Customer (KYC) Application Form | Individual



Please fill the form in English and in BLOCK letters.



Client Code :

DP ID :

12061400

Client ID :

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

Name* (Same as ID proof)	Prefix	First Name	Middle Name	Last Name
Client Name*				
Maiden Name (If any*)				
Mother Name*				

☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth*

ISO 3166 Country Code of Birth*

3. APPLICANT 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.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature / Thumb Impression of Applicant

Date :

Place :

Note : Please fill & submit separate form for all joint holders.

For office use only

Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Simplified (for low risk customers)☐ Small



TRADING ACCOUNT RELATED DETAILS

A. BANK ACCOUNT(S) DETAILS

For Individuals & Non-individuals

Bank Name	Branch Address	Bank Account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

Authority to remit funds pay out clients bank account electronically into

☐ Yes

☐ No

I / We request you to deposit my/our payout in respect of my/our transactions directly to above mentioned bank account (provided such facility is available) or any other bank account which I/We may intimate from time to time.

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

C. TRADING PREFERENCES

Date

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges	Cash Segment	F&O Segment	Currency Derivative Segment
BSE			
NSE			
MSEI			
MCX		NCDEX	

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. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

Local Sales Tax State Registration No		Validity Date	
Name of the State			
Central Sales Tax Registration No		Validity Date	
Other Sales Tax State Registration No		Validity Date	
Name of the State			

E. VAT DETAILS (As Applicable, State wise)

Local VAT Registration No		Validity Date	
Name of the State			
Other VAT Registration No		Validity Date	
Name of the State			

F. PAST ACTIONS

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years:

G. DEALINGS THROUGH SUB-BROKERS / Authorised Person (AP) AND OTHER STOCK BROKERS

If client is dealing through the sub-broker / AP, provide the following details:

Sub-broker's / AP Name:

SEBI Registration number / Exchange No :

Registered office address:

Ph: Fax: Website:

Whether dealing with any other stock broker/sub-broker/ AP (if case dealing with multiple stock brokers/subbrokers / AP, provide details of all)

Name of stock broker:

Name of Sub-Broker / AP, if any:

Client Code: Exchange:

Details of disputes/dues pending from/to such stock broker/sub- broker:

I. OTHER DETAILS

1. Gross Annual Income Details (please specify): Income Range per annum: ☐ Below Rs 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac
☐ 10-25 Lac ☐ 25 Lacs to 1 Crore ☐ > 1 Crore
2. Net-worth as on (date) (.....) (Net worth should not be older than 1 year)
(Net worth is mandatory in case of non individual)
3. Occupation (please tick any one and give brief details): ☐ Private Sector ☐ Public Sector ☐ Government Service
☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____
4. Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)
(Fill Definition of PEP, Please refer guideline)
5. Any other information : _____

I. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) :

Specify your Email id, if applicable:

Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :

Number of years of Investment/Trading Experience :

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

Any other information:

J. INTRODUCER DETAILS (optional)

Name of the Introducer:

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify

Address and phone no. of the Introducer:

Signature of the Introducer:

K. NOMINATION DETAILS (for Individual Only)

☐ I/We wish to nominate

☐ I/We do not wish to nominate

Name of the Nominee: Relationship with the Nominee:

PAN No of Nominee : Date of Birth of Nominee:

Address and phone no. of the Nominee:

If Nominee is a minor, details of guardian :

Name of guardian:

Address and phone no. of Guardian:

Signature of guardian :

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

Name :	Name :
Signature :	Signature:
Address :	Address :
.....	
.....	

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.
www.rudrashares.com

Place

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---



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

UCC Code allotted to the Client : _____

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

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

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the nonmandatory 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, www.rudrashares.com if any, for the information of the clients.

for RUDRA SHARES & STOCK BROKERS LTD.

Signature of the Authorised Signatory

Seal/Stamp of the stock broker



TARIFF SHEET

Rudra Shares & Stock Brokers Ltd.

(*Scheme details as per executed addendum)

CASH SEGMENT

BROKERAGE SLAB	JOBING %		DELIVERY %	
	FIXED BROK.	MIN. BROK.	FIXED BROK.	MIN. BROK.

DERIVATIVE SEGMENT

BROKERAGE SLAB	FIXED/ NORMAL BROK. %	MINI. BROK. IN Rs.	EXPIRY BROK %	MINI BROK ON LOT
FUTURE				
OPTION				
CURRENCY DERIVATIVES				

BROKERAGE

MCX/NCDEX			
Delivery		Futures	
%	Minimum (Rs.)	%	Minimum (Rs.)
OPTION/Rs. LOT			

OTHER TAXES & CHARGES

(*) Delay Payment charges (DPC) may be charged @ 18%

(*) Minimum brokerage of Rs. 20 per contract note will be charged.

(*) Delay Payment charges (DPC) will be charged @ 18% after T + 2 with effect from T + 1 day.

(*) All Government & Statutory charges / levis will be charged on actual basis.

DECLARATION

I/We are quite agree and accept with the chagres given under this Tariff Sheet

Place

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---



Client's Signature _____

Client Name _____

Client Code _____



ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT



RUDRA SHARES & STOCK BROKERS LTD.

DP : CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED | SEBI REGN. NO. IN-DP-CDSL-518-2009, DP ID - 12061400

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (Uttar Pradesh)

Ph.: +91-512-6711000 (30 Lines), 3913928 • **Fax:** +91-512-3913929 • **Website:** www.rudrashares.com

(TO BE FILLED BY THE DEPOSITORY PARTICIPANT)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	6	1	4	0	0	Client ID										

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/our name as per the following details

HOLDERS DETAILS

Sole/First Holder Name											PAN								
	Search Name										UID								
Second Holder Name											PAN								
											UID								
Third Holder Name											PAN								
											UID								

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.

TYPE OF ACCOUNT (Please tick whichever is applicable)

STATUS	SUB - STATUS		
☐ Individual	☐ Individual Resident	☐ Individual - Director	☐ Individual Director's Relative
	☐ Individual HUF / AOP	☐ Individual Promoters	☐ Minor
	☐ Individual Margin Trading A/c (MANTRA)		☐ Others (specify)_____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI Repatriable Promoter
	☐ NRI Non-Repatriable Promoter	☐ NRI-Depository Receipts	☐ Others (specify)_____
	☐ Foreign National		☐ Foreign National Depository Receipts
☐ Foreign National	☐ Others (specify)_____		
☐ Body Corporate ☐ Bank ☐ Trust ☐ Mutual Fund ☐ OCB ☐ FII ☐ CM ☐ FI ☐ Clearing House ☐ Others (Specify)_____			To be filled by the DP
SEBI Registration No. (if Applicable)		SEBI Regn. Date	
RBI Registration No. (if Applicable)		RBI Approval Date	
Nationality		☐ Indian ☐ Others (specify)_____	

DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name																		
PAN																		Relationship with the applicant



Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		[Automatic Credit] ☐ Yes ☐ 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')		☐ Yes ☐ No	
Account Statement Requirement	☐ As per SEBI Regulation	☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly	
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____			☐ Yes ☐ No
I/We would like to share the email ID with the RTA		☐ Yes ☐ No	
I/We would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)		☐ Physical / ☐ Electronic ☐ Both Physical and Electronic	
I/We wish to receive dividend / interest directly in to my bank account 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

BANK DETAILS [Dividend Bank Details]										(* 9 digit MICR Code)					(*11 Character)					
MICR Code*										IFSC Code#										
Bank A/c No.										Bank A/c Type	☐ Saving ☐ Current ☐ Others Pl. Specify									
Bank Name										Branch Name										
Bank	City/town/village									PIN Code										
Branch	State									Country										
Address																				

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
- (ii) Photocopy of the Bank Statement having name and address of the BO
- (iii) Photocopy of the Passbook having name and address of the BO, (or)
- (iv) Letter from the Bank.
- In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

SMS Alerts Facility	Mobile No.	+	9	1											
Refer to Terms & Conditions given as Annexure 2.4	[(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 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)						
 To register for easi, please visit our website : www.cdslindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.															



Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

CLEARING MEMBER DETAILS (To be filled by CMs only)			
Name of Stock Exchange			
Name of CC/CH			
Clearing Member Id		Trading Member ID	

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.

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the 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 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 or Guardian (in case of Minor) / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Designation			
Signature			

(Signatures should be preferably in black ink).

(In case of more authorised signatories, please add annexure)



OPTION FORM FOR ISSUE OF DIS BOOKLET

RUDRA SHARES & STOCK BROKERS LTD.

DP : CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED | SEBI REGN. NO. IN-DP-CDSL-518-2009, DP ID - 12061400

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (Uttar Pradesh)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax: +91-512-3913929 • Website: www.rudrashares.com

DP ID	1	2	0	6	1	4	0	0	CLIENT ID							
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--

Dear Sir / Madam,

I / We hereby state that: [Select one of the options given below]

Date

☐ **OPTION 1 :**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with RUDRA SHARES & STOCK BROKERS LTD. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

Or

☐ **OPTION 2 :**

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) / executed PMS agreement in favour of / with RUDRA SHARES & STOCK BROKERS LTD. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			



NOMINATION FORM

RUDRA SHARES & STOCK BROKERS LTD.

DP : CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED | SEBI REGN. NO. IN-DP-CDSL-518-2009, DP ID - 12061400

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

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Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax: +91-512-3913929 • Website: www.rudrashares.com

Photo of Nominee

& Signature of

Nominee Across

The Photograph



Nominee Signature

Dear Sir/Madam,

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.**
[Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form].
- ☐ **I/We nominate** the following person's who is entitled to receive security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders.

BO Account Details																	
DP ID	1	2	0	6	1	4	0	0	Client ID								
Name of First/Sole Holder																	
Name of Second Holder																	
Name of Third Holder																	
Nomination Details	Nominee 1					Nominee 2					Nominee 3						
Nominee Name																	
First Name																	
Middle Name																	
Last Name																	
Address																	
City																	
State																	
Pin																	
Country																	
Telephone No.																	
Fax No.																	
PAN																	
UID																	
E-mail ID																	
Relationship with the BO																	
Date of Birth (mandatory If nominee is a minor)																	
Name of the Guardian of Nominee (If the Nominee is minor)																	
First Name*																	
Middle Name*																	
Last Name*																	
*Address of the Guardian of nominee																	
City																	
State																	



Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

Country																		
Pin																		
Age																		
Telephone No.																		
Fax No.																		
Email ID																		
*Relationship of the Guardian with the Nominee																		
*Percentage of allocation of securities																		
*Residual Securities (please tick any one nominee. If tick not marked default will be first nominee)	☐						☐						☐					
Note : Residual securities : in case 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 made as nominee entitled for residual shares, if any. *Marked is Mandatory field This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.																		
Place :							Date	D	D	M	M	Y	Y	Y	Y			
	First/Sole Holder						Second Holder						Third Holder					
Name																		
Signature																		
Note : One witnesses shall attest signature(s) / Thumb impression(s).																		
Details of the Witness																		
	Witness																	
Name of Witness																		
Address of Witness																		
Signature of Witness																		

(To be filled by DP)

For Rudra Shares & Stock Brokers Ltd.

Nomination accepted and registered vide

Registration No. _____ dated _____

(Authorised Signatory)

**RUDRA SHARES & STOCK BROKERS LTD.**

Annexure 2.4

DP : CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED | SEBI REGN. NO. IN-DP-CDSL-518-2009, DP ID - 12061400

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (Uttar Pradesh)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax: +91-512-3913929 • Website: www.rudrashares.com

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at Rudra House, 15/63, Civil Lines (adjoining krishna tower) Kanpur - 208 001 (Uttar Pradesh) and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in

mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO



Sole/First Holder Name & Signature



Second Holder Name & Signature



Third Holder Name & Signature

account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity :

The Depository shall not be liable for any breach of confidentiality

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION / MODIFICATION** (Please cancel out what is not applicable)

DP ID	1	2	0	6	1	4	0	0	Client ID									
First Holder's Name : _____																		
Second Holder's Name : _____																		
Third Holder's Name : _____																		
Mobile No. on which messages are to be sent										+	9	1						
(Please write only the mobile number without prefixing country code or zero)																		
The Mobile Number is registered in the name of : _____																		
E-mail Id: _____																		
(Please write only ONE valid email Id on which communication; if any, is to be sent)																		
																		
Sole/First Holder Name & Signature						Second Holder Name & Signature						Third Holder Name & Signature						
IN CASE OF JOINT HOLDERS, ALL JOINT HOLDERS MUST SIGN.																		
* Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).																		
Place:.....																		
Date:.....																		

by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments :

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

☐ SCHEME 1

SCHEME 1	NORMAL WITH LIFE TIME SECD (ONLY FOR POA) (refundable after deducting last year MC)
AMC	NA
SECD	POA-RS.2000 COP- RS.4500+ACTUAL CDSL
DEMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
REMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
TRXN MARKT.	P-RS15 OTH. CM-50 PER TRANS. 0.05% WHICHEVER IS HIGHER
TRXN OFFMARKT.	RS 50 PER TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CREATION	RS 50 PER INSTR.TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CLOSURE	RS 50 PER INSTR.
PLEDGE INVOCATION	RS 50 PER INSTR.
MODIFICATION	RS. 100 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	RS. 50
D.I.S. BOOK	FIRST IS FREE THEN RS. 25 PER BOOK+50 RS. MAILING CHARGES
C.M.L. PRINTING	FIRST IS FREE THEN RS. 20 + 50 RS. MAILING CHARGES
TRXN AND/OR HOLDING STATEMENT	RS. 20 PER + RS. 50 MAILING CHARGES
GOVT. TAXES & LAVIES	AS PER APPLICABLE ADDITIONALLY

☐ SCHEME 2

SCHEME 2	NORMAL WITH YEARLY/QUARTERLY MC (ONLY FOR POA)
AMC	POA-RS.100 POA (COP.)-RS.250 Quarterly
SECD	NA
DEMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
REMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
TRXN MARKT.	P-RS15 OTH. CM-50 PER TRANS. 0.05% WHICHEVER IS HIGHER
TRXN OFFMARKT.	RS 50 PER TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CREATION	RS 50 PER INSTR.TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CLOSURE	RS 50 PER INSTR.
PLEDGE INVOCATION	RS 50 PER INSTR.
MODIFICATION	RS. 100 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	RS. 50
D.I.S. BOOK	FIRST IS FREE THEN RS. 25 PER BOOK+50 RS. MAILING CHARGES
C.M.L. PRINTING	FIRST IS FREE THEN RS. 20 + 50 RS. MAILING CHARGES
TRXN AND/OR HOLDING STATEMENT	RS. 20 PER + RS. 50 MAILING CHARGES
GOVT. TAXES & LAVIES	AS PER APPLICABLE ADDITIONALLY

☐ SCHEME 3

SCHEME 3	ONE TIME PAYMENT FOR LIFE TIME (ONLY FOR POA)
AMC	ONE TIME RS 666/-
SECD	NA
DEMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
REMAT	RS 50 PER CERTI. + RS 50 MAILING CHAR.
TRXN MARKT.	P-RS 30 OTH. CM-50 PER TRANS. 0.05% WHICHEVER IS HIGHER
TRXN OFFMARKT.	RS 60 PER TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CREATION	RS 60 PER INSTR.TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CLOSURE	RS 60 PER INSTR.
PLEDGE INVOCATION	RS 60 PER INSTR.
MODIFICATION	RS 100 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	RS. 50
D.I.S. BOOK	FIRST IS FREE THEN RS. 50 PER BOOK+50 RS. MAILING CHARGES
C.M.L. PRINTING	FIRST IS FREE THEN RS. 20 + 50 RS. MAILING CHARGES
TRXN AND/OR HOLDING STATEMENT	RS. 20 PER + RS. 50 MAILING CHARGES
GOVT. TAXES & LAVIES	AS PER APPLICABLE ADDITIONALLY

☐ SCHEME 4

SCHEME 4	BSDA (ONLY FOR POA)
AMC	NA
SECD	NA
DEMAT	RS 100 PER CERTI. + RS 50 MAILING CHAR.
REMAT	RS 100 PER CERTI. + RS 50 MAILING CHAR.
TRXN MARKT.	P-RS 50, OTH. CM-100 PER TRANS. 0.05% WHICHEVER IS HIGHER
TRXN OFFMARKT.	RS 100 PER TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CREATION	RS 100 PER INSTR.TRANS. 0.05% WHICHEVER IS HIGHER
PLEDGE CLOSURE	RS 100 PER INSTR.
PLEDGE INVOCATION	RS 100 PER INSTR.
MODIFICATION	RS. 100 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	RS. 50
D.I.S. BOOK	FIRST IS FREE THEN RS. 50 PER BOOK+50 RS. MAILING CHARGES
C.M.L. PRINTING	FIRST IS FREE THEN RS. 20 + 50 RS. MAILING CHARGES
TRXN AND/OR HOLDING STATEMENT	RS. 20 PER + RS. 50 MAILING CHARGES
GOVT. TAXES & LAVIES	AS PER APPLICABLE ADDITIONALLY



First Holder Signature



Second Holder Signature



Third Holder Signature

Confirmation

I/we Specifically opt to avail the facility of a regular demat account (Non-BSDA) under the above/attached tariff.



First Holder Signature



Second Holder Signature



Third Holder Signature

UNDERTAKING BY CLIENT FOR COMMON MOBILE NO./EMAIL ID

To,
Rudra Shares & Stock Brokers Limited
15/63, Civil Lines, Kanpur-208 001
Dear Sir/Madam
I/We

_____/_____/20____

DP ID	1	2	0	6	1	4	0	0	CLIENT ID								
CLIENT CODE									MOBILE NO.								
EMAIL ID																	
RELATION OF B.O. WITH MOB. / EMAIL OWNER	☐ SPOUSE ☐ DEPENDENT PARENTS ☐ DEPENDENT CHILDREN																

Hereby specifically confirm that mobile no. and / or email id given above is belonging to my/our family (according to prescribed definition of family), I/we hereby grant my/our quite consent to use it in my/our given above demat and trading account for any type of email, sms and / or call confirmations. Further all said confirmation shall be quite acceptable by me/us.

Thanking you,



(Name & Sign of First/Sole Holder)



(Name & Sign of Second Holder)



(Name & Sign of Third Holder)

RUNNING ACCOUNT AUTHORISATION

To,

Date

D	D	M	M	Y	Y	Y	Y
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RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments, I / we further authorize you to follow these instruction across exchanges & across segments in which I / we have already opened accounts with you or I may open account in future. As my/our broker i.e. agent I/ we direct and authorize you to carry out trading/ dealings on my/our behalf as per instructions given below.

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 dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange/ regulatory authorities. However, I/we 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 we cannot deal/trade.

Therefore I /we hereby direct and authorise 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 to 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, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements. 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 dealings/ trading. You are authorize to do these acts across all exchanges & segments in which I / we have been / shall be dealing with you.

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 settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the client demat ledger (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. Further, do not carry out settlement of 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 am entitled to revoke this authorisation at any time, So this Authorisation will be revoked from the date of physical delivery of revocation letter at your corporate office to allow you to make necessary changes to handle my account without running account authorisation. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above and further agree 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 under this agreement. My/Our preference for actual settlement of funds and securities is at least:

☐ Once in a Calender Quarter☐ Once in a Calender Month

I/We hereby give my consent to member to retain an amount upto Rs. 10,000/- (net amount across all segments and across stock exchanges) for the purpose of settlement of my / our account.

Thanking you,

Yours faithfully,



Client's Signature

Name :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

RUNNING ACCOUNT AUTHORIZATION (MCX & NCDEX)

To,

RUDRA SHARES & STOCK BROKERS LTD.

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

Dear Sir,

I/We hereby authorize(s) the MEMBER to maintain a running account, instead of settlement to settlement clearance of funds due to me/us.

The payout of funds may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such funds so retained.

I/We also authorize(s) the MEMBER to consider the funds so retained by the MEMBER towards collateral margin for following enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this document or otherwise.

I/WE agree(s) that Member may retain the requisite securities/funds towards outstanding settlement 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.

The actual settlement of funds and securities shall be done by the broker, at least once in a calendar quarter or month, depending on the preference of the client.

While settling the account, the broker shall send to the client a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of funds/securities and the details of the pledge, if any.

The client shall bring any dispute arising from the statement of account or settlement so made to the notice of the broker preferably within 7 working days from the date of receipt of funds/securities or statement, as the case may be.

The stock broker shall transfer the funds / securities lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation

There must be a gap of maximum 90/30 days (as per the choice of client viz. Quarterly/Monthly) between two running account settlements.

With a view to do away with the need to transfer small amounts from Members to the clients and to cut down avoidable transactions with the minimum amount prescribed which can be retained by the members, it may be noted that as per existing requirements members may not refund amounts below Rs. 50,000/- to clients for the purpose of settlements.

There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

Settlement Preference: ☐ Quarterly or ☐ Monthly

This authorization may be revoked at any time by me/us by giving written notice to the member.

Name of Client: _____

Client Code : _____ **Date of Authorization:** DD / MM / YYYY

Client Signature: _____



(To be signed by client himself and not by any authorized person on his behalf or holder of the Power of Attorney)

To,

RUDRA SHARES & STOCK BROKERS LTD.

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

Dear Sir,

I, a client with Member M/s. Rudra Shares & Stock Brokers Ltd. of National Commodity & Derivatives Exchange Limited (NCDEX) and Multi Commodity Exchange of India Ltd (MCX) undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is*
This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in Own handwriting of the client.)

Client Name

Unique Client Code PAN

Address.....

Client Signature  Place..... Date.....

Verification of the client signature done by,

Name of the designated officer of the Member

Signature

DIGITALLY SIGNED ELECTRONIC CONTRACT NOTES / ACCOUNT / LEDGER STATEMENTS

To,

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

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Sub. : Digitally Signed Electronic Contract Notes / Account / Ledger Statements

This is to inform you that I am desirous of receiving contract notes for the dealings carried out by me through electronic mode of delivery and accordingly request you to provide me Digitally Signed Contract Notes through email on my email address provided below.

I further hereby irrevocably authorize and give consent to you to send the following information at my designated email address, as mentioned below and the delivery of information so made shall be effective and deemed delivery to meet the requirement of providing the said information such as the following

- Copy of my executed KYC kit
- Digitally signed contract notes/bills,
- Statement of Accounts / Ledgers
- Statement of Funds and Securities
- Margin statement relating to my account
- Any other important notice, Circular or communications including changes in the terms and conditions of service.

My email ID for above purpose is as mentioned in your record

I understand that any change in the above email ID can be made by you only against a physical letter personally signed by me, or alternatively if the request is made through the password protected secured access as provided on your website.

I also understand that Non-Bouncing of the Electronic Contract Notes (ECN) shall be construed as a valid deemed delivery of the digital contract notes and other electronic documents sent to me, and you shall send physical contract notes to me only in case of any ECN's bounced back to you from my email id.

Failure on my part to check/verify the contract notes on regular basis shall not be a reason for disputing the digital contract note at any time and the payment obligations and transactions and trades shall be adhered to and cleared by me.

Thanking you, Yours faithfully,



Client's Signature

REQUEST FOR SUBSCRIBE SMS ALERT SERVICE

To,

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

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I/We want to subscribe to your SMS Alert service without any obligation on your part, I am fully aware that such Research based SMS services are only for my guidance and doesn't constitute any responsibility of any loss on Rudra.

I/We hereby agree and give my/our consent for sending the trade confirmations via SMS instead of telephonic trade confirmations. For this purpose, my mobile number is as mentioned in your record

Yours faithfully



Client's SignatureName :

VERBAL ORDER ACCEPTANCE AUTHORISATION

To,

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

I/We have been / shall be dealing through you as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

As I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my / my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I /We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,

 Client's Signature

Non Mandatory

PLEDGE AUTHORISATION

To,

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

I/we have been / shall be dealing through you as my broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / We have opted to open the account with you. As my broker i.e. agent I/ we direct and authorize you as under.

Pledge /deposit my/our securities whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any person(s) including but not limited to anyone or more bank(s) and/or stock exchange(s) and/or clearing corporation(s) / clearing house(s) or any other person. You may at your absolute discretion raise funds, obtain bank guarantee(s) and FDRs etc. against such deposit/ pledge. I/ we authorise you to do in my/our name and on my/our behalf all such acts, deeds and things as may be necessary and expedient for placing pledging / depositing my/our securities with a person of your choice. If for any reason the pledgee sells / liquidates these securities I/we shall not dispute or contest the acts of pledgee in any manner what so ever. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you,

Yours faithfully,



Client's Signature :

POWER OF ATTORNEY **[OPTIONAL]**
in favour of broker for operational requirements as per client instruction

I / We _____ hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services of (India) Limited, through Rudra Shares and Stock Brokers Limited, Regd. Office: C-100, Sarita Vihar, New Delhi-110 076, bearing DP-ID12061400.

And Whereas I / We am / are an investor(s) engaged in buying and selling of securities through Rudra Shares and Stock Brokers Limited (a member of Bombay Stock Exchange Ltd. and National Stock Exchange of India Ltd., bearing SEBI registration no. INZ000004937), hereinafter jointly referred to as Trading Member "RUDRA".

And Whereas due to exigency & paucity of time, I / We am / are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT "RUDRA" as my true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name and at my/ our cost and expense to do the following acts, deeds or things:

1. To do instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from the aforesaid beneficiary account for the purpose of meeting margin/ delivery obligations of the recognized stock exchange toward any segment arising out of the trades executed by me/ us through them. Trading member is a Depository Participant POA for considering securities towards margins is in favour of trading member.
2. To instruct DP to transfer the shares to RUDRA's Margin account number 1206140000013055 & pledge / unpledge the same with the NSE/BSE or clearing member as margin deposit in connection with the trades executed by me/ us through RUDRA.
3. To instruct the DP to debit securities to the said BO account and/ or transfer securities from the said account to RUDRA's NSE Pool Account Nos. 1100001100017803 NSE-CM SEGMENT, 1206140000010677, and/or to RUDRA's BSE Pool Account Nos. 1100001000020710 BSE-CM SEGMENT, 1206140000007174 & 1206140000007161, Client Unpaid Securities Account (CUSA) 1206140000210212 to the extent of shares sold by me/us for pay- in obligations towards any stock exchange.
4. Unless specifically instructed by me/ us within the reasonable time, to apply for various products like shares & securities, Public Issues (shares as well as debentures), subscription to rights, offers of shares, tendering shares in open offers and buy back, mutual fund, etc.
5. To send me/ us consolidated scrip-wise position summary with average rates on daily basis by the way of SMS/ Email on my mobile or on my email id (details of which has already been provided to RUDRA or as updated by me from time to time).
6. To transfer charges levied in my BO account to my trading ledger account of NSE & BSE
7. To do all such thing and give all such instructions as mentioned above concerning the said account as I/we myself/ourselves could give if I/we was/were personally present.

RUDRA would liable to return back to clients, the securities that may have been received by it erroneously or those securities that it was not entitled to receive from the client(s).

This authority is restricted to the margin/ delivery obligations arising out of the transactions of trades executed by me/ us through

RUDRA and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

That powers and authorities conferred by this Power of Attorney can be revoked at any point of time, without any notice.

I/We further confirm that the powers and authorities conferred by this Power of Attorney shall continue until revoked and this Power of Attorney shall be revocable at any time, without any notice.

Signed and delivered by Client **

First Holder Signature 

Second Holder Signature 

Third Holder Signature 

Signed and delivered by Participant

For Rudra Shares & Stock Brokers Ltd., (DP ID 12061400) of CDSL

Authorised Signatories

Place :

Date :

Witness

Signature :

Name :

Address :

Witness

Signature :

Name :

Address :

* Please stamp & Sign in case of HUF Account
 ** In case of Joint holding, all joint holders must sign.

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

To,

Date

D	D	M	M	Y	Y	Y	Y
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RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)**Ph.:** +91-512-6711000 (30 Lines), 3913928 • **Fax :** +91-512-3913929 • **Website :** www.rudrashares.com

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.



Client's Signature

Name :

POWER OF ATTORNEY **[OPTIONAL]**
in favour of broker for operational requirements as per client instruction

I / We _____ hold a Beneficiary account no. _____ (BO-ID) with Central Depository Services of (India) Limited, through Rudra Shares and Stock Brokers Limited, Regd. Office: C-100, Sarita Vihar, New Delhi-110 076, bearing DP-ID12061400.

And Whereas I / We am / are an investor(s) engaged in buying and selling of securities through Rudra Shares and Stock Brokers Limited (a member of Bombay Stock Exchange Ltd. and National Stock Exchange of India Ltd., bearing SEBI registration no. INZ000004937), hereinafter jointly referred to as Trading Member "RUDRA".

And Whereas due to exigency & paucity of time, I / We am / are desirous of appointing an agent/attorney to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing:

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I THE ABOVENAMED DO HEREBY NOMINATE, CONSTITUTE/ AND APPOINT "RUDRA" as my true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our name and at my/ our cost and expense to do the following acts, deeds or things:

1. To do instruct the aforesaid Depository Participant to debit securities and/or to transfer securities from the aforesaid beneficiary account for the purpose of meeting margin/ delivery obligations of the recognized stock exchange toward any segment arising out of the trades executed by me/ us through them. Trading member is a Depository Participant POA for considering securities towards margins is in favour of trading member.
2. To instruct DP to transfer the shares to RUDRA's Margin account number 1206140000013055 & pledge / unpledge the same with the NSE/BSE or clearing member as margin deposit in connection with the trades executed by me/ us through RUDRA.
3. To instruct the DP to debit securities to the said BO account and/ or transfer securities from the said account to RUDRA's NSE Pool Account Nos. 1100001100017803 NSE-CM SEGMENT, 1206140000010677, and/or to RUDRA's BSE Pool Account Nos. 1100001000020710 BSE-CM SEGMENT, 1206140000007174 & 1206140000007161, Client Unpaid Securities Account (CUSA) 1206140000210212 to the extent of shares sold by me/us for pay- in obligations towards any stock exchange.
4. Unless specifically instructed by me/ us within the reasonable time, to apply for various products like shares & securities, Public Issues (shares as well as debentures), subscription to rights, offers of shares, tendering shares in open offers and buy back, mutual fund, etc.
5. To send me/ us consolidated scrip-wise position summary with average rates on daily basis by the way of SMS/ Email on my mobile or on my email id (details of which has already been provided to RUDRA or as updated by me from time to time).
6. To transfer charges levied in my BO account to my trading ledger account of NSE & BSE
7. To do all such thing and give all such instructions as mentioned above concerning the said account as I/we myself/ourselves could give if I/we was/were personally present.

RUDRA would liable to return back to clients, the securities that may have been received by it erroneously or those securities that it was not entitled to receive from the client(s).

This authority is restricted to the margin/ delivery obligations arising out of the transactions of trades executed by me/ us through

RUDRA and I/We ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

That powers and authorities conferred by this Power of Attorney can be revoked at any point of time, without any notice.

I/We further confirm that the powers and authorities conferred by this Power of Attorney shall continue until revoked and this Power of Attorney shall be revocable at any time, without any notice.

Signed and delivered by Client **

First Holder Signature 

Second Holder Signature 

Third Holder Signature 

Signed and delivered by Participant

For Rudra Shares & Stock Brokers Ltd., (DP ID 12061400) of CDSL

Authorised Signatories

Place :

Date :

Witness

Signature :

Name :

Address :

Witness

Signature :

Name :

Address :

* Please stamp & Sign in case of HUF Account
 ** In case of Joint holding, all joint holders must sign.



AUTHORISATION LETTER FOR AUTHORISED PERSON

To,

RUDRA SHARES & STOCK BROKERS LTD.

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

SUB: AUTHORITY LETTER FOR AUTHORISED PERSON

Dear Sir,

I/we have been/ shall be dealing through you as my / our broker on the Commodity Exchanges such as MCX/NCDEX. As my / our Broker i.e. agent I /we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions/ authorizations given and carried out by you earlier.

I /we authorise Mr. / Ms.....to deal I transact on my / our behalf and to place orders, give instructions, make and receive payments of securities and monies, collect contract notes, bills, order confirmations, trade confirmations, account statements and any other documents or communication, to sign any document, settle the account, enter into any compromise and to do any and all act (s) on my /our behalf which I/ we can do. And I /we the undersigned do hereby agree and declare and confirm that all the acts and things done by him/her or his/her substitutes shall be my / our acts, deeds and things validly done by me/ us to all intents and purposes.

Please treat this authorization as written ratification of my /our verbal directions / authorizations given and carried out by you earlier.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above.

Please note that i am/we are entitled to revoke this authorisation at any time.

Thanking you,

Yours faithfully

Signature 

Client Name :

Name and Address details of my/ our Authorised Person are:

Name :

Address :

Mutual Acknowledgement-cum-Declaration Between Rudra Shares & Stock Brokers Ltd. and Internet Clients

We are mutually quite agree with these given terms and conditions -

1. The CLIENT is aware that authentication Technologies and strict security measures are required for internet trading 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.
2. The client agrees that the member shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link system failure at the CLIENT / MEMBER/ EXCHANGE end.
3. The Member shall also send the order/trade confirmation slip through e-mail to the CLIENT at his request, within time period as specified by the CLIENT from the time of execution of orders/trade on the ODIN system, as the case may be. The CLIENT agrees that the information send by member by e-mail is deemed to be a valid delivery of such information by the member.
4. The CLIENT is aware that the member is provided on the website a facility for reconfirmation of orders, which are larger than that specified by the member's risk management, by the member and is also aware that the member has the Member has the discretion to reject the execution of such orders based on his risk perception.
5. The member and client are aware of the provisions of bye laws, rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by such provisions.
6. I/We do hereby confirm as having read understood and accepted the detailed terms and conditions relating to internet trading which have been provided by Rudra Shares and Stock Brokers Ltd. to me/us.

Name of Client

UCC of Client

For Rudra Shares & Stock Brokers Ltd.

Signature 

Authorised Signatory

Request Letter for Trading Commodity Forward Contracts

To,

RUDRA SHARES & STOCK BROKERS LTD.

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

Sub : My/Our request for trading in commodity forward contracts/commodity derivatives on NCDEX/MCX as your client

Dear Sir,

I/We, the undersigned, have taken cognizance of circular no. NCDEX/TRADING-114/2006/247 dated September 28, 2006 issued by the National Commodity & Derivative Exchange Limited (NCDEX) & Multi Commodity Exchange of India Limited (MCX) circular MCX/300/2006 and MCX/338/2006 issued on August, 1, 2006 and August 21, 2006 on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX/MCX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX/MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on NCDEX through you or through any other member(s) of NCDEX/MCX, to enable you to restrict our position limit as prescribed by the above referred circular of NCDEX/MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients on NCDEX/MCX only on the basis of our above assurances and undertaking.

Yours faithfully,

for :

Signature 

Name of client/Sole Proprietor/Partner/Director/Karta/Trustee:

Address of client/Sole Proprietor/Partner/Director/Karta/Trustee:

.....

DECLARATION

It is Declared that I/We/the firm/the company :

1. Have not defaulted to any other broker/exchange and/or am/are not suspended/expelled/defaulted member of any exchange.
2. Have not been declared bankrupt/insolvent.
3. Have not been prohibited for dealing in securities/commodities market by any authority.
4. Are not employees of any other broker/exchange of am/are working with the broker/exchange whose NOC is enclosed.
5. An employee of Rudra Group and the name of my employees is

Signature of the declarant 

NOC LETTER

RUDRA SHARES & STOCK BROKERS LTD.

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This is to state that S/o/D/o

..... R/o

.....

..... is employee with this company and we have no objection if the said person opens an account for trading purpose with your company.

Yours faithfully,

(.....)



RUDRA SHARES & STOCK BROKERS LTD.

Regd. Office : C-100, Sarita Vihar, New Delhi - 110076

Corp. Office : Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)

Ph.: +91-512-6711000 (30 Lines), 3913928 • Fax : +91-512-3913929 • Website : www.rudrashares.com

To,
Rudra Shares & Stock Brokers Ltd.
Kanpur-208001.

Dear Sir / Madam,

**Sub: Consent for trading in Commodity Options in the KYC Client Code:
PAN No.**

1. I/We _____ are registered with you as a client for trading in commodity derivatives.
2. I/We understand that SEBI has allowed trading in commodity options. Exchanges are soon likely to launch option contracts with commodity or commodity derivatives as underlying.
3. I/We have gone through the additional risk disclosure document sent by you and have appraised myself/ourselves with the risk of trading in commodity options.
4. I/We are interested in trading in commodity options and hereby accord my/our consent to trading in commodity options with confirmation of having received additional risk disclosure document disclosing risk of trading in commodity options.
5. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of time.

Yours Sincerely,

Signature of Client :

Name of Client: _____

Place:

Date:

Note : In case of existing clients who are Corporate/ Trust/ Partnership, a resolution from Board of Directors/ Trustees/partners is required clearly stating that the Corporate/ Trust/ Partnership are authorized to trade in Commodity Options and they intend to trade in Commodity Options on recognized Exchanges.

AUTHORISATION FOR DEBITING DEMAT ACCOUNT OPERATING CHARGES

To,

Date

D	D	M	M	Y	Y	Y	Y
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RUDRA SHARES & STOCK BROKERS LTD.**Regd. Office :** C-100, Sarita Vihar, New Delhi - 110076**Corp. Office :** Rudra House, 15/63, Civil Lines (Adjoining Krishna Tower) Kanpur - 208 001 (U.P.)**Ph.:** +91-512-6711000 (30 Lines), 3913928 • **Fax :** +91-512-3913929 • **Website :** www.rudrashares.com

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment. As my Broker, i.e. agent, I/we authorize you to debit my/our account against the charges raised by you on account of Depository Services Provided by you on account of Depository Services Provided by them and bill raised by them in this regard. The details of Demat account(s) are as follows:

Depository	Depository Participant	Beneficiary Account
CDSL - 12061400	RSSBL	

Thanking you,

Yours faithfully,



Client's Signature

DECLARATION-CUM-UNDERTAKING

घोषणा

मैं Rudra Shares & Stock Brokers Ltd. यह घोषणा करता हूँ कि मैंने Rudra Shares & Stock Brokers Ltd. में अपना ट्रेडिंग खाता खोला है। उसके लिए मैंने अकाउंट ओपनिंग फॉर्म और विभिन्न कागजात पर हस्ताक्षर किये हैं जो कि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है Rudra Shares & Stock Brokers Ltd. के नियम व शर्तों से सहमत हूँ।

मैं सुनिश्चित करता/करती हूँ मुझे Rudra Shares & Stock Brokers Ltd. में मेरा ट्रेडिंग अकाउंट खोलने के उपरान्त Uniform Risk Disclosure Document, Right and Obligation of Members, Authorized Person and Clients, Do's and Don'ts, Policy and Procedure RDD, Additional Risk Disclosure documents for Option Trading एवं मेरे द्वारा निष्पादित अन्य दस्तावेजों की एक प्रतिलिपि मुझे प्राप्त हो गयी है।

Name & Signature of Client

	Sole/First Holder / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Signature			
Name			

* Please stamp & Sign in case of HUF Account ** In case of Joint holding, all joint holders must sign.

Date:

(To be taken on the letter head in case of non-individual client)

Date: _____

To,
Rudra Shares and Stock Brokers Ltd.
TMID: MCX-35545, NCDEX-00890
Corp. Office: 15/63, Civil Lines, Adjoining Krishna Tower, Kanpur-208001

Sir,

Subject: Self Declaration / Category of Participant

I/we _____ (name of the client-Individual/Non-individual),
having trading account with Unique Client Code _____ allotted to me/us by your broking
house for trading in commodity derivatives contracts on MCX and / or NCDEX trading platform.

I/We declare that my category of participation as ticked below with respect to each Commodity
mentioned below -

Category of Participant	Please tick, whichever is applicable	Name of Commodity / ies
Farmers/FPOs		
Value chain participants (VCPs)		
Proprietary traders		
Domestic financial institutional investors		
Foreign participants		
Others		

I/we declare that the information given above is true to my/our knowledge.

Thanking you.

Yours Faithfully,

(Name & Signature of the Client)

