

**Suggested Format of Undertaking for reactivation of client's trading account**

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

Date: _____

To,
Rudra Shares & Stock Brokers Ltd.,
Member: NSE, BSE, MSEI, MCX, NCDEX

Regd. Office: 15/63, Civil Lines, Adjoining Krishna Tower, Kanpur-208001

Corp. Office: 15/63, Civil Lines, Adjoining Krishna Tower, Kanpur-208001

Sir,

I/we _____ (name of the client-individual/Non-individual), having trading account with Unique Client Code _____ allotted to me/us by your broking house; have not been trading in your trading platform since last 12 (twelve) continues calender, hence marked as Inactive/Dorman. However, I/we am/are desirous to trading again in your trading platform.

I/we hereby undertake that:

1. I/We have completed all the KYC format formalities and submitted all the required documents thereof (Proof of Identity, Address Proof, Bank Proof, PAN, etc.), at the time of opening the trading account originally and enrolling as a client with you.
2. There are no changes in respect of my/our Address, Bank account, PAN details, as providing to you earlier. Further, there is no material change in the other information provided to you in KYC Form.

My/Our some other updated details are as given below -

Annual Income Range: <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs 1-5 Lac <input type="checkbox"/> Rs 5-10 Lac <input type="checkbox"/> Rs 10-25 Lac <input type="checkbox"/> Rs 25-1 Cr. <input type="checkbox"/> More than Rs 1 Cr.	Occupation: <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others (Specify)
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☐ NETWORTH..... AS ON DATE(.....)☐ I/We request to carry out the change of address / signature in the KRA and demat account

I/We request you to make the following additions / modifications / deletions to my/our account in your records.

DETAILS (Please specify change of address, bank details, telephone number etc.)	Addition / Modification / Deletion (Please specify)	Existing Details	New Details
In Case of change in Bank Details, mention the Bank status. Primary <input type="checkbox"/> Secondary <input type="checkbox"/>			



Attach an Annexure (with signature (s) if the space above is found insufficient).

 _____ Sole / First Holder _____ Second Holder _____ Third Holder

Place : _____ Date : _____

* In Primary account fund payout will be transferred by default.

Depository Participant Seal and Signature

Know Your Client (KYC) Application Form (For Individuals Only) Please fill the form in ENGLISH and in BLOCK letters Fields marked * are mandatory Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also	 CDSL VENTURES LIMITED <small>....Exploring New Horizons</small>	 RUDRA रुद्रा है तो मुद्रा है
	Application Number: _____ Application Type: Without Supporting KYC Modification	
KYC Mode*: Please Tick (✓) <input type="checkbox"/> Normal <input type="checkbox"/> EKYC OTP <input type="checkbox"/> EKYC Biometric <input type="checkbox"/> Online KYC <input type="checkbox"/> Offline EKYC <input type="checkbox"/> Digilocker		
1. Identity Details (please refer guidelines overleaf)		
PAN* _____ Name (same as ID proof) _____ Fathers/Spouse's Name _____ Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married		
2. Contact Details (in CAPITAL)		
Email ID _____ Mobile No. _____ Tel (off) _____ Tel (Res) _____		
3. Applicant Declaration		
I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only. DATE: _____ (DD-MM-YYYY) PLACE: _____	Applicant e-SIGN <div style="border: 1px solid black; height: 150px; margin-top: 10px;"></div>	Applicant Wet Signature <div style="border: 1px solid black; height: 150px; margin-top: 10px;"></div>
4. For Office Use Only		
Intermediary Details (Name and Stamp)*		
<small>Institution Name and Stamp</small>		



Rudra Shares & Stock Brokers Limited

(Formerly Known as Gigantic Securities Limited)

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

Ph. : 0512-3071647/648 • Fax : 0512-3913929 • E-mail : dp@rudrashares.com • Web : www.rudrashares.com

CDSL DP ID : 12061400 & Sebi Reg. No.: IN-DP-CDSL-558-2021



Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

- "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
- "DP" means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
- 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.
- SMS means "Short Messaging Service"
- "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
- "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.
- "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

- 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.
- The service is currently available to the BOs who are residing in India.
- 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.
- 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.
- 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:

- 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.
- 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.
- 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.
- 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.
- 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.

- 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 account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
- 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.
- 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.
- If the BO finds that the information such as mobile number etc., has been changed with out 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 BOs.

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 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 fees/ 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 ISIMs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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).

BOID

1	2	0	6	1	4	0	0											
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent

+91																		
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(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : _____

Email ID : _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)



Sole / First Holder

Second holder

Third Holder

Place :

Date :

Note : Signature of Client is Mandatory on Required Pages.

(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)

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.

Date: _____

To,
Rudra Shares and Stock Brokers Ltd,
15/63, Civil Lines,
Kanpur, U.P-208001

Subject: Mobile Number And Email ID Declaration For Family Account.

With reference to the above subject, I would like to disclose that my trading and Deamt account with client ID _____ and Client Code _____ is linked to the following contact details:

Mobile number: _____

I confirm that the mobile number belongs to my (tick the relevant option):

Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parents ☐ Karta

Email ID: _____

I confirm that the email ID belongs to my (tick the relevant option):

Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parents ☐ Karta

I request to continue receiving SMS and emails from the stock exchanges and Rudra Shares and Stock Brokers Ltd. on the above mobile number and email ID.

Yours faithfully,

Name: _____

Signature: _____