

## SARAL ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

PHOTOGRAPH

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#### FOR OFFICE USE ONLY

UCC Code allotted to the Client: -----

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

	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 I/we have made the client aware of 'Policy and Procedures', tariff sheet. 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 would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

If the client chooses to avail the demat facility from the same Rudra Shares and Stock Brokers Ltd who is also a depository participant, the Rudra Shares and Stock Brokers Ltd may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC documents.

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#### Signature of the Authorised Signatory

Date .....

Seal/Stamp of the Rudra Shares and Stock Brokers Ltd

**NOTE:** This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avail facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the Rudra Shares and Stock Brokers Ltd.

# Additional information to be obtained along with the SARAL Account Opening Form for Resident Individuals

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<b>E</b> asi	To register for <b>e</b> asi, please visit our website <u>www.cdslindia.com</u> . <b>E</b> asi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

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Nomination Registration No.	Dated

	I/We hereby confirm that I/We do not wish to appoint any nominee in my demat account	and unde	rstand the
_	issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the	account h	nolder(s),
	my / our legal heirs would need to submit all the requisite documents / information for claiming of asse	ts held in	my / our
	demat account, which may also include documents issued by Court or other such competent authority	, based or	the value
	of assets held in the demat account		

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

#### Note:

Signature of witness, along with name and address are required, if the account holder affixed humbim pression instead of signature in both the cases i.e. nomination of our nomination of the cases i.e. nomination of the case i.e. no ca

☐ I/We <b>nominate</b>	the following persons who	o is/are entitled to	receive security	balances lying	in my/our account	particulars
where of are give	en below, in the event of m	ny / our death.				

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name :			
*First Name:			
Middle Name:			
ivildale Name:			
*Last Name			
*Percentage of allocation of			
securities			
Equally			
[If not equally, please			
specify percentage]	%	%	%
Or			
01			
Share of each Nominee			
Onare or each Nominee			
Any odd I	ot after division shall be transfe	erred to the first nominee mentio	ned in the form
Nomination Identification	Nominee 1	Nominee 2	Nominee 3
Details [Please tick any one			
of following and provide			
details of same]			

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Saving Bank account no.  Proof of Identity		
Optional Fields]		
*Address:		
*City		
*State		
*Pin *Country		
Mobile no/Telephone No.		
[Optional Fields]		
Email ID:		
[Optional Fields]		
FAV No.		
FAX No.: [Optional Fields]		
*Relationship with the BO:		
Date of birth (mandatory if		
Nominee is a minor) dd-mm-yyyy		
Name of the Guardian of		
Nominee (if nominee is a		
minor) * First Name:		
i iist ivailie.		 
Middle Name:		 
*Last Name		
Edst Name		
*Address of the guardian of		
nominee:		
*City		
*State		
*Country *PIN		
Age		
Mobile Telephone no.:		
[Optional Fields]		
Email ID: [Optional Fields]		
Fax No.		
[Optional Fields]	) i	
To be filled only if nominee(s *Relationship of the	s) is a minor:	
Guardian with the Nominee		
Guardian Identification		 
details – [Please tick any one of following and provide		
details of same]		
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Identity		
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Details of the Witness			
		Witness Details	
Name of witness			
Address of witness			
Signature of witness			
bound by the same and by me/us above are true and undertake to intimate the D	the Bye Laws as are in force to the best of my/our knowle P any change(s) in the detai ading information given by m	e from time to time. I / We dec edge as on the date of making ils / Particu lars mentioned by i	tions and agree to abide by and be clare that the particulars given by this application. I/We agree and me / us in this form. I/We further laterial information will render my
	First/Sole Holder or ridia n (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			
(S ignatures should be preferably in black ink ).  The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)			
Acknowledgement Receipt Application No.:  Acknowledgement Receipt			

We hereby acknowledge the receipt of the Account Opening and nomination Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature** 

#### **TARIFF SHEET**

Rudra Shares & Stock Brokers Ltd.

(\*Scheme details as per executed addendum)

#### **CASH SEGMENT**

BROKERAGE SLAB	JOBB	ING %	DELIV	ERY %
	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 STOCK				
OPTION INDEX				
CURRENCY DERIVATIVES				

### BROKERAGE

MCX/NCDEX				
Delivery Futures			ures	
%	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.
- (\*) Account processing fees: Rs200/-, Call & Trade: 50 Rs/Executed Order.

#### **DECLARATION**

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

Place	Client's Signature
Date D M M Y Y Y Y	Client Name
	Client Code

	DP (DEPOSITORY	F
SCHEME 1		
SCHEME 1	NORMAL WITH LIFE TIME SECURITY DEPOSIT (IF CLOSURE HAPPENS THEN AMOUNT WILL BE REFUNDED AFTER DEDUCTION OF PREVAILING YEAR ACCOUNT MAINTENANCE CHARGES (AMC))	
AMC	₹ 0 ACCOUNT MAINTENANCE CHARGES (AMC)	1
Security Deposit	INDIVIDUAL ₹ 2000.00, CORPORATE ₹ 4500.00 + ACTUAL CDSL	]
DEMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES	_
REMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES	_
TRANSACTION CHARGES	₹ 15.00 0THER CLEARING MEMBER ₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	
TRANSACTION OFF MARKET	₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	Ì
PLEDGE CREATION	₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	1
PLEDGE CLOSURE	₹ 50.00 PER INSTRUCTION	1
PLEDGE INVOCATION ₹ 50.00 PER INSTRUCTION		1
MODIFICATION	₹ 100.00 PER MODIFICATION	]
KRA, KYC MAKING/ MODIFICATION/FETCH	₹ 50	
DELIVERY INSTRUCTION SLIP BOOKLET (DIS)	FIRST IS FREE THEN ₹ 25.00 PER BOOK + ₹ 50.00 MAILING CHARGES	
TRANSACTION/HOLDING STATEMENT	₹ 20.00 + ₹ 50.00 MAILING CHARGES (PER STATEMENT)	
C.M.L PRITING	FIRST FREE THEN RS20+50RS MAILING CHARGES	l
GOVT. TAXES & LEVIES	AS PER APPLICABLE ADDITIONALLY	1

PARTICIPANT) CHAF	RGES Applicable w.e.f. 16th Aug, 2018
SCHEME 2	
SCHEME 2	NORMAL WITH YEARLY/QUARTERLY AMC (ONLY FOR POA)
AMC	INDIVIDUAL ₹ 100.00, (CORPORATE ₹ 250.00 PER QUARTER+ ACTUAL CDSL) + GST
Security Deposit	₹ 0 Deposit
DEMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES
REMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES
TRANSACTION CHARGES	₹ 15.00 0THER, CM -₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
TRANSACTION OFF MARKET	₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
PLEDGE CREATION	₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
PLEDGE CLOSURE	₹ 50.00 PER INSTRUCTION
PLEDGE INVOCATION	₹ 50.00 PER INSTRUCTION
MODIFICATION	₹ 100.00 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	₹50
DELIVERY INSTRUCTION SLIP BOOKLET (DIS)	FIRST IS FREE THEN ₹ 25.00 PER BOOK + ₹ 50.00 MAILING CHARGES
TRANSACTION/HOLDING STATEMENT	₹ 20.00 + ₹ 50.00 MAILING CHARGES (PER STATEMENT)
C.M.L PRITING	FIRST FREE THEN RS20+50RS MAILING CHARGES
GOVT. TAXES & LEVIES	AS PER APPLICABLE ADDITIONALLY

SCHEME 3	
SCHEME 3	ONE TIME PAYMENT FOR LIFE TIME (ONLY FOR POA)
AMC	₹ 666.00 + GST
Security Deposit	₹ 0 DEPOSIT
DEMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES
REMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES
TRANSACTION CHARGES	₹ 30.00 0THER, CM -₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
TRANSACTION OFF MARKET	₹ 60.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
PLEDGE CREATION	₹ 60.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)
PLEDGE CLOSURE	₹ 60.00 PER INSTRUCTION
PLEDGE INVOCATION	₹ 60.00 PER INSTRUCTION
MODIFICATION	₹ 100.00 PER MODIFICATION
KRA, KYC MAKING/ MODIFICATION/FETCH	₹ 50
DELIVERY INSTRUCTION SLIP BOOKLET (DIS)	FIRST IS FREE THEN ₹ 50.00 PER BOOK + ₹ 50.00 MAILING CHARGES
TRANSACTION/HOLDING STATEMENT	₹ 20.00 + ₹ 50.00 MAILING CHARGES (PER STATEMENT)
C.M.L PRITING	FIRST FREE THEN RS20+50RS MAILING CHARGES
GOVT, TAXES & LEVIES	AS PER APPLICABLE ADDITIONALLY

SCHEME 4	For BSDA (Basic Services Demat Account) Clients	
AMC * Value of holdings in Demat account upto Rs.4 Lakh – NIL * Value of holdings in Demat account between Rs.4 Lakh to Rs. 10 Lakh – Rs. 100 + GST / Year		
Security Deposit	₹ 0 DEPOSIT	
DEMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES	
REMAT	₹ 50.00 PER CERTIFICATE + ₹ 50.00 MAILING CHARGES	
TRANSACTION CHARGES	₹ 30.00 0THER, CM -₹ 50.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	
TRANSACTION OFF MARKET	₹ 60.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	
PLEDGE CREATION	₹ 60.00 OR 0.05% WHICHEVER IS HIGHER (PER TRANSACTION)	
PLEDGE CLOSURE	₹ 60.00 PER INSTRUCTION	
PLEDGE INVOCATION	₹ 60.00 PER INSTRUCTION	
MODIFICATION	₹ 100.00 PER MODIFICATION	
KRA, KYC MAKING/ MODIFICATION/FETCH	₹50	
DELIVERY INSTRUCTION SLIP BOOKLET (DIS)	FIRST IS FREE THEN ₹ 50.00 PER BOOK + ₹ 50.00 MAILING CHARGES	
TRANSACTION/HOLDING STATEMENT	₹ 20.00 + ₹ 50.00 MAILING CHARGES (PER STATEMENT)	
C.M.L PRITING	FIRST FREE THEN RS20+50RS MAILING CHARGES	
GOVT. TAXES & LEVIES	AS PER APPLICABLE ADDITIONALLY	

	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		
DP ID 1 2 0 6	1 4 0 0 CLIENTID	
CLIENT CODE	MOBILE NO.	
RELATION OF B.O. WITH MOB./EMAIL OWNER	SPOUSE DEPENDENT PARE	NTS DEPENDENT CHILDERN
Hereby specifically confirm that mobile no. and / or email id giv above demat and trading account for any type of email, sms ar		d definition of family), I/we hereby grant my/our quite consent to use it in my/our given quite acceptable by me/us.
Thanking You,		
-		
First Holder Signature	Second Holder Signature	Third Holder Signature
		Page no.08-10

## **DECLARATION-CUM-UNDERTAKING**

## घोषणा

मैं Rudra Shares aı	nd Stock Brokers Ltd. यह घोषणा करता हूँ रि	के मैने Rudra Shares and Stock Brokers Ltd	।. में अपना ट्रेडिंग/डीमेट एकाउन्ट खाता खोला है।
उसके लिए मैनें 3	नकाउंट ओपनिंग फॉर्म और विभिन्न काग	जात 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।	
मेरा ट्रेडिंग अक andObligation and Clients,	जिउंट खोलने के उपरान्त Uniform F ns of Beneficial Owner and D Do's and Don'ts, Policy and Nomination Acknowledgment एवं मेरे	Risk Disclosure Document, Right Deppsitory Particippatnt Inves Procedure RDD, Additional F	udra Shares and Stock Brokers Ltd. में and Obligation of Members, Right tor Charter Authorized Person Risk Disclosure documents for प्रतिलिपि मुझे प्राप्त हो गयी है।
-	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, a	I joint holders must sig	n.
--	--------------------------------	--------------------------	----

Date: .....



Date:	
To, Rudra Shares and Stock Brokers Ltd, 15/63, Civil Lines, Kanpur, U.P-208001	
Subject: Mobile Number And Email ID Declaration For F	amily Account.
With reference to the above subject, I would like to disc and Deamt account with client ID an Codeis linked to the following contact details:	d Client
Mobile number:	
I confirm that the mobile number belongs to my (tick the	e relevant option):
□Self □ Spouse □ Dependent Child □ Dependent Pare	ents
Email ID:	-
I confirm that the email ID belongs to my (tick the releva	ant option):
□Self □ Spouse □ Dependent Child □ Dependent Pare	ents
I request to continue receiving SMS and emails from the and Rudra Shares and Stock Brokers Ltd. on the above mobilD.	
Yours faithfully,	
Name: Signature:	