

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

Please affix your recent passport size photograph and sign across it

I KYC - Please fill this form in BLOCK LETTERS.
A. IDENTITY DETAILS

- Name of the Applicant: _____
- Father's/ Spouse Name: _____
- a. Gender: Male/ Female b. Marital status: Single/ Married c. Date of birth: ____ (dd/mm/yyyy)
- Nationality: _____
- a. PAN: _____ b. Aadhaar Number, if any: _____
- Specify the proof of Identity submitted: _____

B. ADDRESS DETAILS

- Residence/ Correspondence Address: _____ City/town/village: _____
Pin Code: _____ State: _____ Country: _____
- Contact Details: Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ Email id: _____
- Permanent Address (if different from above address): _____
City/town/village: _____ Pin Code: _____ State: _____ Country: _____
- Specify the proof of address submitted for residence/correspondence /permanent address: _____

DECLARATION

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

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

☐ Originals verified and Self-Attested Document copies received (.....)

 Name & Signature of the Authorised Signatory
 Seal/Stamp of the intermediary

Date

II OTHER DETAILS:
1. Bank account details:

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/	MICR Number	IFSC code

2. Demat account details: (In case the client does not have DP account, this column may be crossed)

DP name	NSDL/CDSL	Beneficiary name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes/No)
4. Trading Preferences: Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign
NSE		BSE	

5. Mode of receiving Contract Note/ Statement of Account: Physical / Electronic (Please indicate your preference).....
6. Standing instructions to receive credits automatically into my BO account (Yes/No)
7. Nomination details (Name, PAN, Address and Phone no. of nominee); relationship with the nominee (If nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

**RUDRA**
SHARES

रुद्रा है तो मुद्रा है

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.

.....

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**

Date	D	D	M	M	Y	Y	Y	Y

To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y							
DP Internal Reference No.																	
DP ID									Client ID								

Holders Details

Sole / First Holder's Name		UID															
Second Holder's Name		PAN															
		UCC															
		Exchange Name & ID															
		UID															
Third Holder's 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.	

Status	Sub - Status
☐ Individual	☐ Individual Resident

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 ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)		

I / We wish to receive dividend / interest directly in to my bank account as given in SARAL AOF 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
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Other Details Gross Annual Income Details	Income Range per annum:																
	☐ Up to Rs.1,00,000 ☐ Rs 1,00,000 to Rs 5,00,000 ☐ Rs 5,00,000 to Rs 10,00,000 ☐ Rs 10,00,000 to Rs 25,00,000 ☐ More than Rs 25,00,000																
	Net worth as on (Date)	<table border="1"> <tr> <td>D</td> <td>D</td> <td>M</td> <td>M</td> <td>Y</td> <td>Y</td> <td>Y</td> <td>Y</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table> Rs	D	D	M	M	Y	Y	Y	Y							
D	D	M	M	Y	Y	Y	Y										
<i>[Net worth should not be older than 1 year]</i>																	
Occupation	☐ Private / Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculture ☐ Retired ☐ Housewife ☐ Student ☐ Others (Specify)																
Please tick , if applicable:	☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP)																
Any other information:																	

SMS Alert Facility Refer to Terms & Conditions given as Annexure - 2.4	MOBILE NO.+91 _____ [(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).	
Easi	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.	

Nomination Details

Nomination Registration No.	Dated

- ☐ I/We hereby confirm that I/We **do not wish to appoint any nominee in my demat account** and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on 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 affixes thumb impression instead of signature in both the cases i.e. nomination & opt out nomination -

- ☐ I/We **nominate** the following persons who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name : *First Name: Middle Name: *Last Name			
*Percentage of allocation of securities Equally [If not equally, please specify percentage] % Or Share of each Nominee			
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form</i>			
Nomination Identification Details [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3

Saving Bank account no. Proof of Identity Optional Fields]			
*Address:			
*City			
*State			
*Pin			
*Country			
Mobile no/Telephone No. [Optional Fields]			
Email ID: [Optional Fields]			
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: Middle Name: *Last 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]			
To be filled only if nominee(s) is a minor:			
*Relationship of the Guardian with the Nominee			
Guardian Identification details – [Please tick any one of following and provide details of same] ☐ Aadhaar Saving Bank account no. Proof of Identity Optional Fields]			

*			

Note : Residual securities: in case of multiple nominees, remaining after distribution of securities as per percentage of allocation. shall be transferred to the first nominee .

*** Marked is Mandatory field**

Note

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination]

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

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

(Signatures should be preferably in black ink).

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

===== Please Tear Here) =====

Acknowledgement Receipt

Application No.:

Date:

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	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 STOCK				
OPTION INDEX				
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.
- (*) 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

Date

D	D	M	M	Y	Y	Y	Y
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Client's Signature _____

Client Name _____

Client Code _____

DP (DEPOSITORY PARTICIPANT) CHARGES

Applicable w.e.f. 16th Aug, 2018

☐ 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)
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 OTHER 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)
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 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 OTHER, 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 OTHER, 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 OTHER, 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

_____/_____/20

Dear Sir/Madam,

I/WE

DP ID	1	2	0	6	1	4	0	0	CLIENT ID										
CLIENT CODE									MOBILE NO.										
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,

First Holder Signature

Second Holder Signature

Third Holder Signature

घोषणा

मैं Rudra Shares and Stock Brokers Ltd. यह घोषणा करता हूँ कि मैंने Rudra Shares and Stock Brokers Ltd. में अपना ट्रेडिंग/डेमेट अकाउंट 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 and Stock Brokers Ltd. में मेरा ट्रेडिंग अकाउंट खोलने के उपरान्त Uniform Risk Disclosure Document, Right and Obligation of Members, Right and Obligations of Beneficial Owner and Depository Participatnt Investor Charter Authorized Person and Clients, Do's and Don'ts, Policy and Procedure RDD, Additional Risk Disclosure documents for Option Trading, Nomination Acknowledgment 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:

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

Email ID: _____

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

☐ Self ☐ Spouse ☐ Dependent Child ☐ Dependent Parents

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: _____