

# RNA CAPITAL MARKETS LIMITED

(THIS INFORMATION IS THE SOLE PROPERTY OF THE TRADING MEMBER / BROKERAGE HOUSE AND WOULD NOT BE DISCLOSED TO ANYONE UNLESS REQUIRED BY LAW OR EXCEPT WITH THE EXPRESS PERMISSION OF CLIENTS)

## RNA CAPITAL MARKETS LIMITED

Member - NSE - SEBI Regn. No. INB / INF 231234734

BSE - SEBI Regn. No. INB 011234730

### REGD. OFFICE :

37-A, Bentinck Street

Room No. 314, 3rd Floor, Kolkata - 700 069

Phone : 2248-5573, Fax : 22435327

### DEALING OFFICE :

G-501, 5th Floor, eGí Block

City Centre, DC Block, Kolkata - 700 064

Phone : 4006-3007, Fax : 40063017

## REGISTRATION AND ACCOUNT OPENING FORM - INDIVIDUALS

Name											<b>PHOTOGRAPH</b>  Please sign on the <b>photograph</b>	
Surname	Name			Middlename								
Unique Identification Number (where obtained)												
Date of Birth	D	D	-	M	M	-	Y	Y	Y	Y		
Sex	Male / Female		Marital Status		Married / Unmarried							
Name of Father / Spouse												
Guardian's Name (in case of minor)												
Occupation												
Relationship with Minor												
Correspondence Address	Residence <input type="checkbox"/>			Office Address <input type="checkbox"/>			Permanent Address <input type="checkbox"/>					
	<b>Residential Address</b>			<b>Office Address</b>			<b>Permanent Address</b>					
Address												
City												
State												
Country												
Pin Code												
Telephone No./Mobile No.												
E-Mail												
Nationality				Residential Status			Indian / NRI / Other					
<b>Bank Details :</b> (through which transactions will generally be routed.)												
Bank Name												
Address												
				Account Type		Saving/ Current/ NRI/ Others						
Account No.				MICR No.								
<b>Depository Details :</b> (through which transactions will generally be routed.)												
Depository Participate Name												
Address & Tel. No.												
Depository				DP ID No.			Client ID No.					
NSDL / CDSL												

Occupation Details :						
Occupation	Employed	Self-employed	Business	Professional	House-wife	Others
If employed / self-employed / business / professional/other :						
Name of Employer/Establishment						
Address						
City		State				
Country		Pin Code				
Telephone No.				Fax No.		

Investment/Trading Experience	Financial details of the constituent :
No Prior Experience _____ Years in Stocks _____ Years in Derivatives _____ Years in Other investment related fields	Income Range (Per Annum) : (Tick where applicable) <input type="checkbox"/> Below Rs. 1,00,000/- <input type="checkbox"/> Rs. 1,00,000/- To Rs. 5,00,000/- <input type="checkbox"/> Rs. 5,00,000/- To Rs. 10,00,000/- <input type="checkbox"/> Rs. 10,00,000/- To Rs. 25,00,000/- <input type="checkbox"/> Above Rs.25,00,000/-
PAN No. <input type="text"/>	

Trading Preferences		
Stock Exchanges on which you wish to trade : (Please tick in the relevant boxes)	National Stock Exchange of India Limited (NSE)	<input type="checkbox"/>
	Bombay Stock Exchange Ltd. (BSE)	<input type="checkbox"/>
Market segments you wish to trade: (Please tick in the relevant boxes)	Capital Market / Cash Segment	<input type="checkbox"/>
	Derivatives Market (F & O)	<input type="checkbox"/>

Whether registered with any other broker-member : (if registered with multiple members, provide details of all)		
Name of Broker		
Name of Exchange	Client Code No.	

Details of any action taken by SEBI/Stock Exchange/any other authority for violation of securities laws/ other economic offences.

References	
Introduction : Introduced by another constituent / director or employee of trading member /any other person (please specify)	
Name of Introducer	Client Code (if any) <input type="text"/>
Signature	MAPIN UID No. of introducer, if any <input type="text"/>

Name and designation of the employee who interviewed the client:		
Name	Signature	
Designation		

**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 individual constituent

Place : \_\_\_\_\_

Date : \_\_\_\_\_

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G-501, 5th Floor, eGÍ Block  
City Centre, DC Block, Kolkata - 700 064  
Phone : 4006-3007, Fax : 40063017

## REGISTRATION AND ACCOUNT OPENING FORM - NON INDIVIDUALS

Name of the Company/Firm/HUF									
Unique Identification Number (where obtained)									
Date of incorporation/ formation					Date of Commencement				
Nature of Business									
<b>Registration Details (with ROC, SEBI or any Government authority)</b>									
Registration No.									
Issuing Authority									
PAN No.									
Contact Person's Name									
(Karta, in case of HUF)									
Surname			Name			Middlename			
Designation (for others)									
<b>Registered Office Address</b>									
<b>Correspondence Address</b>									
Address									
City									
State									
Country									
Pin Code									
Telephone No./Mobile No.									
E-Mail									
<b>Bank Details : (through which transactions will generally be routed.)</b>									
Bank Name									
Address									
					Account Type		Saving/ Current/ NRI/ Others		
Account No.					MICR No.				
<b>Depository Details : (through which transactions will generally be routed.)</b>									
Depository Participate Name									
Address & Tel No.									
Depository			DP ID No.			Client ID No.			
NSDL / CDSL									

<b>Names of Promoters / Partners /Karta and residential address</b>	<b>As per list attached duly certified</b>
<b>Names of whole time directors and residential address</b>	<b>As per list attached duly certified</b>
<b>Names and Designation of persons authorized to deal in securities on behalf of the company /firm/others and their residential address</b>	<b>As per list attached duly certified</b>

<b>Investment/Trading Experience</b>	<b>Trading Preferences</b>		
No Prior Experience _____ Years in Stocks _____ Years in Derivatives _____ Years in Other investment related fields	Stock Exchanges on which you wish to trade : (Please tick in the relevant boxes)	National Stock Exchange of India Ltd. (NSE)	
		Bombay Stock Exchange Ltd. (BSE)	
	Market segments you wish to trade: (Please tick in the relevant boxes)	Capital Market / Cash Segment	
		Derivatives Market (F & O)	

**Whether registered with any other broker-member :  
(if registered with multiple members, provide details of all)**

Name of Broker			
Name of Exchange		Client Code No.	

**Details of any action taken by SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences.**

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<b>References</b>			
Introduction : Introduced by another constituent / director or employee of trading member /any other person (please specify)			
Name of Introducer		Client Code (if any)	
Signature		MAPIN UID No. of introducer, if any	

**Name and designation of the employee who interviewed the client:**

Name		Signature	
Designation			

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

**Authorised Signatory (with company seal)**

Name : \_\_\_\_\_ Designation : \_\_\_\_\_

Place :

Date :

**DOCUMENTARY REQUIREMENTS :**

Copies of the following documents may be obtained after due verification with the originals thereof :

1. Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year)
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/ Wholetime director/MD. (copy of updated shareholding pattern to be submitted every year)
3. Copies of the Memorandum and Articles of Association in case of a company / body incorporate / partnership deed in case of a partnership firm
4. Copy of the Resolution of board of directors approving participation in equity / derivatives / debt trading and naming authorized persons for dealing in securities.
5. Photographs of Partners/Whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities.

## AGREEMENT BETWEEN STOCK BROKER AND CLIENT

This agreement is made and executed at ..... this ..... day of ....., 20\_\_\_ between **M/s.RNA CAPITAL MARKETS LIMITED**, a body corporate, registered / incorporated under the provisions of the Companies Act, 1956, being a member of The National Stock Exchange of India Limited (NSE) with SEBI Regn. No. INB/INF 231234734 (hereinafter called the Exchange), and having its Registered Office at 37-A, Bentinck Street, Room No. 314, 3rd Floor, Kolkata - 700 069 (hereinafter called the stock broker) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s. \_\_\_\_\_ an individual/ a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/ her / its residence/registered office at \_\_\_\_\_

(hereinafter called the client) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the client is desirous of investing/trading in those securities/ contracts /other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

WHEREAS the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

Now, therefore, in consideration of the mutual understanding as set forth in this agreement, the parties thereto have agreed to the following terms and conditions :

1. The client agrees to immediately notify the stock broker in writing if there is any change in the information in the client registration form provided by the client to the stock broker at the time of opening of the account or at any time thereafter.
2. The stock broker declares that it has brought the contents of the risk disclosure document to the notice of client and made him aware of the significance of the said document. The client agrees that :
  - a. He has read and understood the risks involved in trading on a stock exchange.
  - b. He shall be wholly responsible for all his investment decisions and trades.
  - c. The failure of the client to understand the risk involved shall not render a contract as void or voidable and the client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the client chose to trade.
  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Byelaws and circulars.
7. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
8. The stock broker agrees to inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange.
9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus, which may result there from.
10. The stock broker agrees that it shall co-operate in redressing grievances of the client in respect of transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc. in respect of shares and securities delivered/to be delivered or received/to be received by the client.
11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable Good & bad delivery norms even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
15. Information about default in payment/delivery and related aspects by a client shall be brought to the notice of the relevant stock Exchange(s). In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ Partner(s)/proprietor as the case may be, shall also be communicated to the relevant stock exchange(s).
16. The stock broker and the client agree to reconcile their accounts at the end of each quarter with reference to all the settlements where payouts have been declared during the quarter.
17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/ authority except as required under any law/ regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

The client's Signature/ Authorised Signatory :

Signed by :

Title :

Name of the client :

Witness :

1. Signature : ✓

Name :

Address :

2. Signature :

Name :

Address :

The stock broker's Signature/Authorised Signatory :

Signed by :

Title :

Name of the stock broker : **RNA CAPITAL MARKETS LIMITED**

Witness :

1. Signature : ✓

Name :

Address :

2. Signature :

Name :

Address :

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.



## AGREEMENT BETWEEN STOCK BROKER AND CLIENT

This agreement is made and executed at ..... this ..... day of ....., 20\_\_\_ between **M/s.RNA CAPITAL MARKETS LIMITED**, a body corporate, registered / incorporated under the provisions of the Companies Act, 1956, being a member of Bombay Stock Exchange Ltd. (BSE) with SEBI Regn. No. INB/INF 011234730 (hereinafter called the Exchange), and having its Registered Office at 37-A, Bentinck Street, Room No. 314, 3rd Floor, Kolkata - 700 069 (hereinafter called the stock broker) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include himself in the capacity of a trading member while trading in the derivatives segment, his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the One Part;

**And**

Mr./Ms/M/s. \_\_\_\_\_ an individual/ a sole proprietary concern/a partnership firm/a body corporate, registered/incorporated, under the provisions of the Indian Partnership Act, 1932/the Companies Act, 1956, having his/ her / its residence/registered office at \_\_\_\_\_

(hereinafter called the client) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors, administrators and legal representatives/the partners for the time being of the said firm, the survivor or survivors of them and their respective heirs, executors, administrators and legal representatives/its successors, as the case may be, of the Other Part;

Whereas the client is desirous of investing/trading in those securities/ contracts /other instruments admitted to dealings on the Exchange as defined in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder from time to time.

Whereas the client has satisfied itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.

Whereas the stock broker has satisfied and shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided; and Whereas the stock broker has taken steps and shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.

WHEREAS the stock broker and the client agree to be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.

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  - d. He is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
  - e. Payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.



3. The Client agrees to pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange/SEBI.
4. The client agrees to abide by the exposure limits, if any, set by the stock broker or by the Exchange or Clearing Corporation or SEBI from time to time.
5. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation / close out, if any, against the client's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
6. The stock broker agrees that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in SEBI Rules and Regulations circulars/ guidelines/Exchanges Rules/Regulations/Byelaws and circulars.
7. The client agrees to immediately furnish information to the stock broker in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
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9. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his successors, heirs and assigns shall be entitled to any surplus, which may result there from.
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11. The stock broker shall continue to be responsible for replacing bad deliveries of the client in accordance with applicable Good & bad delivery norms even after termination of the agreement and shall be entitled to recover any loss incurred by him in such connection from the client.
12. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom it may have had transactions in securities.
13. The client and the stock broker agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder as may be in force from time to time.
14. The stock broker hereby agrees that he shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him and the client and that he shall be liable to implement the arbitration awards made in such proceedings.
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17. The stock broker and the client agree to abide by any award passed by the Ombudsman under the SEBI (Ombudsman) Regulations, 2003.
18. The stock broker and the client declare and agree that the transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the circulars issued thereunder.
19. The instructions issued by an authorized representative, if any, of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
20. Where the Exchange cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled.
21. This agreement shall forthwith terminate; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate issued by the Board is cancelled.

22. The stock broker and the client shall be entitled to terminate this agreement without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this agreement shall continue to subsist and vest in /be binding on the respective parties or his / its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
23. In addition to the specific rights set out in this Agreement, the stock broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchange and circulars issued thereunder or Rules and Regulations of SEBI.
24. Words and expressions which are used in this Agreement, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations of the Exchange and circulars issued thereunder.
25. The provisions of this agreement shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchange that may be in force from time to time.
26. The stock broker hereby undertakes to maintain the details of the client as mentioned in the client registration form or any other information pertaining to the client in confidence and that it shall not disclose the same to any person/ authority except as required under any law/ regulatory requirements; Provided however that the stock broker may so disclose information about its his client to any person or authority with the express permission of the client.

This agreement can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

IN WITNESS THEREOF the parties to the Agreement have caused these presents to be executed as of the day and year first above written.

The client's Signature/ Authorised Signatory :

Signed by :

Title :

Name of the client :

Witness :

1. Signature : ✓

Name :

Address :

2. Signature :

Name :

Address :

The stock broker's Signature/Authorised Signatory :

Signed by :

Title :

Name of the stock broker : **RNA CAPITAL MARKETS LIMITED**

Witness :

1. Signature : ✓

Name :

Address :

2. Signature :

Name :

Address :

Note: All references to the specific quantity/rate/fee mentioned in this agreement are subject to change from time to time, as so agreed to in writing between the parties.

**COMBINED RISK DISCLOSURE DOCUMENT FOR  
CAPITAL MARKET/CASH SEGMENT AND FUTURES & OPTIONS SEGMENT**

This document is issued by the member of the National Stock Exchange of India (hereinafter referred to as iNSEI) / Bombay Stock Exchange Ltd. (hereinafter referred to as iBSEI) which has been formulated by the Exchanges in coordination with the Securities and Exchange Board of India (hereinafter referred to as iSEBI) and contains important information on trading in Equities and F&O Segments of NSE / BSE. All prospective constituents should read this document before trading on Capital Market/Cash Segment or F&O segment of the Exchanges.

NSE/BSE/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor has NSE/BSE/SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in Equity shares, derivative or other instruments traded on the Stock Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on NSE/BSE and suffer adverse consequences or loss, you shall be solely responsible for the same and NSE/BSE, its Clearing Corporation/Clearing House and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a security or derivative being traded on NSE/BSE.

It must be clearly understood by you that your dealings on NSE/BSE through a member shall be subject to your fulfilling certain formalities set out by the member, which may inter alia include your filling the know your client form, client registration form, execution of an agreement, etc., and are subject to the Rules, Byelaws and Regulations of NSE/BSE and its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by NSE/BSE or its Clearing Corporation/Clearing House and in force from time to time.

NSE/BSE does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any trading member and/or sub-broker of NSE/BSE and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/investment advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following :

**1. BASIC RISKS INVOLVED IN TRADING ON THE STOCK EXCHANGE (EQUITY AND OTHER INSTRUMENTS)**

**1.1 Risk of Higher Volatility :** Volatility refers to the dynamic changes in price that securities undergo when trading activity continues on the Stock Exchange. Generally, higher the volatility of a security/contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/contracts than in active securities/contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

**1.2 Risk of Lower Liquidity :** Liquidity refers to the ability of market participants to buy and/or sell securities / contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / contracts purchased or sold. There may be a risk of lower liquidity in some securities / contracts as compared to active securities / contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying/selling without intention of giving and/or taking delivery of a security, as part of a day trading strategy, may also result into losses, because in such a situation, stocks may have to be sold/purchased at a low/high prices, compared to the expected price levels, so as not to have any obligation to deliver/receive a security.

**1.3 Risk of Wider Spreads :** Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / contracts. This in turn will hamper better price formation.

**1.4 Risk-reducing orders :** Most Exchanges have a facility for investors to place 'limit orders', 'stop loss orders' etc. The placing of such orders (e.g., 'stop loss' orders, or 'limit' orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

- 1.4.1** A market order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a market order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security.
- 1.4.2** A limit order will be executed only at the limit price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.
- 1.4.3** A stop loss order is generally placed away from the current price of a stock / contract, and such order gets activated if and when the stock / contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the stock reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a stock / contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.
- 1.5 Risk of News Announcements** : Issuers make news announcements that may impact the price of the securities / contracts. These announcements may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.
- 1.6 Risk of Rumours** : Rumours about companies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumours.
- 1.7 System Risk** : High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.
- 1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.
- 1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or for any other reason.
- 1.8 System/Network Congestion** : Trading on NSE/BSE is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond the control of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.
- 2.** As far as Futures and Options segment is concerned, please note and get yourself acquainted with the following additional features :
- 2.1 Effect of “Leverage” or “Gearing”** : The amount of margin is small relative to the value of the derivatives contract so the transactions are leveraged or geared.
- Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives trading and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin equivalent to the principal investment amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.
- Futures trading involves daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index. If the index has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading next day.
  - If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the broker/member may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
  - Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
  - In order to maintain market stability, the following steps may be adopted : changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
  - You must ask your broker to provide the full details of the derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## 2.2. Risk of Option holders :

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchange may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

## 2.3 Risks of Option Writers :

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple long or short position.
3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

## 3. GENERAL :

**3.1 Commission and other charges :** Before you begin to trade, you should obtain a clear explanation of all commission, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

**3.2 Deposited cash and property :** You should familiarise yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which has been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the member, the same shall be subject to arbitration as per the byelaws/regulations of the Exchange.

**3.3** For rights and obligations of the clients, please refer to Annexure-1 enclosed with this document.

**3.4** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a member for the purpose of acquiring and/or selling of securities through the mechanism provided by NSE/BSE.

**3.5** The term 'member' shall mean and include a trading member, a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.

I hereby acknowledge that I have received and understood this risk disclosure statement and Annexure-1 containing my rights and obligations.

✓  
\_\_\_\_\_

Client Signature

(If Partner, Corporate, or other Signatory, then attest with company seal.)

Date :



## ANNEXURE - 1

### INVESTORS' RIGHTS AND OBLIGATIONS

- 1.1** You should familiarise yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the stock market or the broking firm's insolvency or bankruptcy.
  - 1.1.1** Please ensure that you have a documentary proof of your having made deposit of such money or property with the member, stating towards which account such money or property deposited.
  - 1.1.2** Further, it may be noted that the extent to which you may recover such money or property may be governed by the Bye-laws and Regulations of NSE/BSE and the scheme of the Investors' Protection Fund in force from time to time.
  - 1.1.3** Any dispute with the member with respect to deposits, margin money, etc., and producing an appropriate proof thereof, shall be subject to arbitration as per the Rules, Byelaws/Regulations of NSE/BSE or its Clearing Corporation / Clearing House.
- 1.2** Before you begin to trade, you should obtain a clear idea from your member of all brokerage, commissions, fees and other charges which will be levied on you for trading. These charges will affect your net cash inflow or outflow.
- 1.3** You should exercise due diligence and comply with the following requirements of the NSE/BSE and/or SEBI :
  - 1.3.1** Please deal only with and through SEBI registered members of the Stock Exchange and are enabled to trade on the Exchange. All SEBI registered members are given a registration no., which may be verified from SEBI. The details of all members of NSE/BSE and whether they are enabled to trade may be verified from NSE/BSE website ([www.nseindia.com](http://www.nseindia.com) / [www.bseindia.com](http://www.bseindia.com)).
  - 1.3.2** Demand any such information, details and documents from the member, for the purpose of verification, as you may find it necessary to satisfy yourself about his credentials.
  - 1.3.3** Furnish all such details in full as are required by the member as required in iKnow Your Client form, which may also include details of PAN or Passport or Driving Licence or Voters Id, or Ration Card, bank account and depository account, or any such details made mandatory by SEBI/NSE/BSE at any time, as is available with the investor.
  - 1.3.4** Execute a broker-client agreement in the form prescribed by SEBI and/or the Relevant Authority of NSE/BSE or its Clearing Corporation / Clearing House from time to time, because this may be useful as a proof of your dealing arrangements with the member.
  - 1.3.5** Give any order for buy or sell of a security in writing or in such form or manner, as may be mutually agreed. Giving instructions in writing ensures that you have proof of your intent, in case of disputes with the member.
  - 1.3.6** Ensure that a contract note is issued to you by the member which contains minute records of every transaction. Verify that the contract note contains details of order no., trade number, trade time, trade price, trade quantity, name of security, client code allotted to you and showing the brokerage separately. Contract notes are required to be given/sent by the member to the investors latest on the next working day of the trade. Contract note can be issued by the member either in electronic form using digital signature as required, or in hard copy. In case you do not receive a contract note on the next working day or at a mutually agreed time, please get in touch with the Investors Grievance Cell of NSE/BSE, without delaying.
  - 1.3.7** Facility of Trade Verification is available on NSE/BSE website ([www.nseindia.com](http://www.nseindia.com) / [www.bseindia.com](http://www.bseindia.com)), where details of trade as mentioned in the contract note may be verified from the trade date upto five trading days. Where trade details on the website, do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of NSE/BSE.
  - 1.3.8** Ensure that payment/delivery of securities against settlement is given to the concerned member within one working day prior to the date of pay-in announced by NSE/BSE or its Clearing Corporation / Clearing House. Payments should be made only by account payee cheque in favour of the firm/company of the trading member and a receipt or acknowledgement towards what such payment is made be obtained from the member. Delivery of securities is made to the pool account of the member rather than to the beneficiary account of the member.
  - 1.3.9** In case pay-out of money and/or securities is not received on the next working day after date of pay-out announced by NSE/BSE or its Clearing Corporation / Clearing House, please follow-up with the concerned member for its release. In case pay-out is not released as above from the member within five working days, ensure that you lodge a complaint immediately with the Investors' Grievance Cell of NSE/BSE.

- 1.3.10** Every member is required to send a complete "Statement of Accounts", for both funds and securities settlement to each of its constituents, at such periodicity as may be prescribed by time to time. You should report errors, if any, in the Statement immediately, but not later than 30 calendar days of receipt thereof, to the member. In case the error is not rectified or there is a dispute, ensure that you refer such matter to the Investors Grievance Cell of NSE/BSE, without delaying.
- 1.3.11** In case of a complaint against a member/registered sub-broker, you should address the complaint to the Office as may be specified by NSE/BSE from time to time.
- 1.4** In case where a member surrenders his membership, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to transactions executed on the trading system of NSE/BSE, ensure that you lodge a claim with NSE/BSE/NSCCL/Clearing House within the stipulated period and with the supporting documents.
- 1.5** In case where a member is expelled from trading membership or declared a defaulter, NSE/BSE gives a public notice inviting claims, if any, from investors. In case of a claim, relating to transactions executed on the trading system of NSE/BSE, ensure that you lodge a claim with NSE/BSE within the stipulated period and with the supporting documents.
- 1.6** Claims against a defaulter/expelled member found to be valid as prescribed in the relevant Rules/Bye-laws and the scheme under the Investors Protection Fund (IPF) may be payable first out of the amount vested in the Committee for Settlement of Claims against Defaulters, on pro-rata basis if the amount is inadequate. The balance amount of claims, if any, to a maximum amount of Rs.10 lakhs per investor claim, per defaulter/expelled member may be payable subject to such claims being found payable under the scheme of the IPF.

Notes:

1. The term "constituent" shall mean and include a client, a customer or an investor, who deals with a trading member of NSE/BSE for the purpose of acquiring and / or selling of securities through the mechanism provided by NSE/BSE.
2. The term "member" shall mean and include a member or a broker or a stock broker, who has been admitted as such by NSE/BSE and who holds a registration certificate as a stock broker from SEBI.
3. NSE/BSE may be substituted with names of the relevant exchanges, wherever applicable.



To  
The Client

**Sub:- Disclosure of Proprietary trading by broker to Client.**

In pursuance of the SEBI Circular No. SEBI/MRD/SI/Cir-42/2003 dated November 19, 2003, NSE Circular No. NSE/INVG/PRE/2003/16 dated November 25, 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003 with a view to increase transparency in the dealings between us as a trading member and you as a Client we do hereby disclose that we, apart from trading on account of our Clients, also do trading on our proprietary account, of which is of arbitrage nature.

You are requested to please take a note of the same.

**Inter – Settlement of Securities.**

Clients are advised not to sell shares unless lying in their Demat account. However, **Inter – Settlement** of Securities will be provided to the Client through instruction in Format provided which is valid only when received through Fax / E-mail & confirmed over telephone by taking a token number by the client.

**RNA CAPITAL MARKETS LIMITED** will charge for this service at a rate communicated to the Client from time to time.

**RNA CAPITAL MARKETS LIMITED** will be not responsible / liable for any profit / loss incurred / sustained by the Client for mistake / failure of whom so ever for Inter Settlement of Securities.

Thanking you.

Yours sincerely,  
**For RNA CAPITAL MARKETS LIMITED**

Compliance Officer

I confirm my acceptance.

✓

Signature of Client

To,  
**RNA CAPITAL MARKETS LIMITED**  
37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

Dear Sir,

With reference to my/our registration as Constituent of **RNA CAPITAL MARKETS LIMITED** and execution of member and Constituent agreement for trading in Capital Market Segment of National Stock Exchange of India Ltd. & Capital Market Segment of Bombay Stock Exchange Ltd., I/We authorise **RNA CAPITAL MARKETS LIMITED** for the following :

1. That **RNA CAPITAL MARKETS LIMITED** can/may hold shares purchased by me/us in their beneficiary / pool account as collateral / margin against my / our future trades / obligation.
2. That **RNA CAPITAL MARKETS LIMITED** can / may withhold with them any credit balance lying to my / our account as collateral / margin against my / our future trades / obligation.
3. That **RNA CAPITAL MARKETS LIMITED** can / may adjust any credit lying in one settlement with the debit balance of subsequent settlement(s) and pay / receive by netting the balances and also maintain running account to be settled periodically.
4. That **RNA CAPITAL MARKETS LIMITED** can / may withhold any balance lying to my / our credit against debit balance of my / our family member and / or associates till the debit balance is / are paid off.
5. That **RNA CAPITAL MARKETS LIMITED** can / may deliver the shares against my sale, purchased by me / us in earlier settlement, i.e. inter-transferring the share from one settlement (purchase) to the other settlement (sale).
6. That **RNA CAPITAL MARKETS LIMITED** can / may deliver contract notes / statement of account / cheque to my person.
7. That not to deliver order confirmation / modification / cancellation slip as well as trade confirmation slip alongwith the contract note.
8. That **RNA CAPITAL MARKETS LIMITED**, as required by SEBI, has conveyed that they, besides brokerage business, are also engaged in proprietary trades. (Ref. No. NSE/INVG/PRE/16 dt.25.11.2003)

This authorization will remain in force till notified otherwise.

Thanking You,

Yours faithfully,

✓ Signature of Client

To,  
**RNA CAPITAL MARKETS LIMITED**  
37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

Dear Sir,

With reference to my/our registration as Constituent of **RNA CAPITAL MARKETS LIMITED** (hereinafter referred to as iRCMLi) and execution of member and Constituent agreement for trading in Futures & Options Segment in National Stock Exchange of India Ltd., I/We hereby unconditionally and irrevocably undertake and agree that :

1. I/We shall, when called upon to do so, provide an additional margin money to RCML, as required by them in respect of positions taken by me /us.
2. I/We shall pay the daily Mark-to-Market loss for all my/our open positions in index and individual stock futures contract as charged by NSCCL to RCML by 10.00 a.m. next working day.
3. I/We shall pay the final settlement loss for all my/our index and individual stock futures contract on expiry of the contracts as charged by NSCCL to RCML by 10.00 a.m. next working day.
4. I/We shall pay the daily premium payable for all my/our open positions in index options contract as charged by NSCCL to RCML before execution of the contracts.
5. I/We shall pay the final settlement loss for all my/our index options contract on expiry of the contracts as charged by NSCCL to RCML by 10.00 a.m. next working day.
6. I/We shall pay the daily premium payable for all my/our open positions in individual stock options contract as charged by NSCCL to RCML before execution of the contracts.
7. I/We shall pay the interim exercise settlement value for all my/our open positions on individual stock options contract which has been exercised against me/us, as charged by NSCCL to RCML by end of next working day.
8. I/We shall pay the final exercise settlement value for all my/our open positions on individual stock options contract on expiry of the contracts, as charged by NSCCL to RCML by end of next working day.
9. I/We hereby authorise RCML to retain with them the MTM profit daily premium receivable interim exercise settlement value receivable on Futures & Options Contract and settle the same on monthly basis or as and when demanded by me/us after deducting dues, if any.
10. I/We hereby authorise RCML to utilise excess margin money to settle any debit balance lying in my/our account.
11. I/We hereby authorise RCML to utilise excess margin money as margin money for my/our family member/Group associate account with them.
12. If I/We have been or become unable to meet, satisfy, discharge or fulfil any obligation or liability or commitment or any part thereof to RCML, then RCML may at any time thereafter and without giving any notice to me/us can buy, sale or close out any part or all of the futures & options contract held in my/our account with them. Any or all such incidental expenses incurred by RCML in this regard will be reimbursed by me/us.
13. That **RNA CAPITAL MARKETS LIMITED**, as required by SEBI, has conveyed that they, besides brokerage business, are also engaged in proprietary trades. (Ref. No. NSE/INVG/PRE/16 dt.25.11.2003)

Thanking You,

Yours faithfully,

✓ Signature of Client

**DETAIL OF DIRECTORS / PROMOTERS / PARTNERS / KARTA**

<b>Particulars</b>	<b>1st Signatory</b>	<b>2nd Signatory</b>	<b>3rd Signatory</b>
<b>Name</b>			
<b>Residential Address with Pin Code</b>			
<b>Telephone No.</b>			
<b>Designation</b>			
<b>Qualification</b>			
<b>Experience</b>			
<b>Furnish at least any one :</b>			
<b>IT No. (PAN/GIR)</b> <b>Passport No.</b> <b>Voter ID No.</b> <b>Driving Lincence No.</b> <b>Ration Card No.</b>			
<b>Equity Stake (%)</b>			
<b>Name of the Bank</b>			
<b>Saving/Current A/c No.</b>			
<b>Address of the Bank with Pin Code</b>			
<b>Photograph of the Signatory</b>			
<b>✓ Signature</b>			

**Note : Please provide details of all Directors / Partners / Trustees**



**TO BE GIVEN BY GUARDIAN  
(in case of account opening for minor)**

Dated :

Photograph
Of
Guardian (duly signed)

To,  
**RNA CAPITAL MARKETS LIMITED**  
37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

Ref : Trading Account No. \_\_\_\_\_

Dear Sir,

This is with reference to the above account opened in the name of Master/Ms.....  
(A/c.....(Name of the minor) with you for the purpose of dealing in securities on the  
stock exchange.

With reference to the aforementioned trading account, you are requested to kindly accept or receive funds / securities  
from and make payment of funds / transfer of securities to the account of my son / daughter, Master / Ms.  
.....as per the details given below for all dealings in the said trading account :

Bank Account No.	
Bank Name	
Branch	
Client ID No.	
DP ID No.	
DP Name	

Kindly do the needful.

Thanking You,  
Yours faithfully

✓  
Signature of the Parent / Guardian

**DECLARATION BY FIRM (SOLE PROPRIETORSHIP)**  
**(To be obtained on pre-printed Letter Head of the Firm)**

Dated :

To,  
**RNA CAPITAL MARKETS LIMITED**  
37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

Dear Sir,

I refer to the trading account to be opened with you in the name of .....  
and declare and authorise you as under.

I recognise that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of the completing the share transfer obligations pursuant to the trading operation, I authorise you to recognise the beneficiary Account No. \_\_\_\_\_ with depository \_\_\_\_\_ having DP ID \_\_\_\_\_ opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and / or sold by the firm will be handled and completed through transfers to / from the above mentioned account. I recognise and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Signature ( Please sign with stamp of the firm)

✓ \_\_\_\_\_

Further I the undersigned am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advice you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

The cheques/DDs may be issued by me from my individual account or my joint account with some one else. The said amount so given shall be solely/exclusively for credit to the account of my sole proprietorship firm M/s. \_\_\_\_\_ with RNA CAPITAL MARKETS LIMITED. I shall not lay any claim whatsoever in future against RNA CAPITAL MARKETS LIMITED for affording credit of such cheques/DDs issued from my individual/joint account credit of which has been provided by RNA CAPITAL MARKETS LIMITED to the account my proprietoship firm M/s. \_\_\_\_\_.

Yours truly,

Signature (Please sign without stamp of the firm)

✓ \_\_\_\_\_





## DECLARATION OF JOINT FAMILY

To,  
**RNA CAPITAL MARKETS LIMITED**  
37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

A/c No. \_\_\_\_\_

1. WHEREAS the Hindu Undivided Family of ..... (hereinafter referred to as the said "joint family") carrying on business in the firm name and style of..... at..... or elsewhere (hereinafter referred to as "the said H.U.F. firm") have or desire to have Share Trading A/c with **RNA CAPITAL MARKETS LIMITED** (hereinafter referred to as "Member") we, the undersigned, hereby declare
  - (a) that we are the present adult co-parceners of the said joint family;
  - (b) that Shri..... is the present Karta or Manager of the said Joint Family;
  - (c) that we are entitled to trade in shares and open Share Trading Account of the said Joint Family;
  - (d) that each one of us has full and unrestricted authority to act on behalf of, and bind, the said H.U.F. Firm and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that the affairs of the said joint family and the business of the said H.U.F firm are carried on mainly by the Karta/Manager, the said Shri..... on behalf and in the interest and for the benefit of all the co-parceners of the said joint family. We hereby authorise the Karta/Manager Shri..... on behalf of the H.U.F to deal on Capital Market Segment (CM), Futures & Options Segment (F&O) or any other Segment that may be introduced by NSE in future and the said Trading Member is hereby authorised to honour all instructions oral or written, given by him on behalf of the H.U.F.  
Shri..... is authorised to sell, purchase, transfer, endorse, negotiate documents and/or other wise deal through **RNA CAPITAL MARKETS LIMITED** on behalf of the H.U.F. .... He is also authorised to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of the said H.U.F firm to the Member and agree and confirm that any claim due to Member from the said H.U.F firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest there on of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the Member in writing of any change that may occur in the Kartaship/Managership or in the constitution of the said joint family or of the said H.U.F. firm and until receipt of such notice by the Member, the member will be entitled to regard each of us as a member of the said joint family and as a partner of the said H.U.F. firm and all acts, dealings and transactions purporting to have been done on behalf of the said joint family or of the said H.U.F. firm before the Member shall have received notice in the manner aforesaid, shall be binding on the said joint family and the said H.U.F. firm and on our respective estate. We shall, however, continue to be liable jointly and severally to the Member for all dues and obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account no. .... with Depository ..... opened in name of Shri..... who is the Karta/Manager of this H.U.F.
5. I agree that obligations for share purchase and/or sale by the H.U.F. will be handled and completed through transfers to/from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the H.U.F.
6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

Name of the minor	Father's Name	Date of Birth
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7. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

Yours faithfully,

\_\_\_\_\_  
(Full personal signature of Karta and all major co-parceners)

**FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES/TRUSTS  
(To be obtained on pre-printed Letter Head of the Firm)**

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE BOARD OF DIRECTORS/  
TRUSTEES /OF \_\_\_\_\_ Ltd./TRUST AND HAVING ITS REGISTERED OFFICE AT \_\_\_\_\_  
HELD ON \_\_\_\_\_ DAY  
OF \_\_\_\_\_ 200 AT \_\_\_\_\_ A.M./P.M

RESOLVED THAT the Company/Trust be registered as Client with RNA CAPITAL MARKETS LIMITED member of  
The National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Ltd. (BSE) for the purpose of dealing  
in equities, derivatives, debentures, debt & others products and the said Member be and is hereby authorised to honour  
instruction oral or written, given on behalf of the Company/Trust by any of the under noted authorised signatories:-

Sl. No.	Name	Designation
1.	_____	_____
2.	_____	_____
3.	_____	_____

who are authorised to sell, purchase, transfer, endorse, negotiate and/or otherwise deal with/through deal through RNA  
CAPITAL MARKETS LIMITED on behalf of the Company/Trust.

RESOLVED FURTHER THAT Mr. \_\_\_\_\_ and/or Mr. \_\_\_\_\_  
Directors/Trustees of the Company/Trust be and are hereby authorised to sign, execute and submit such applications,  
undertakings, agreements and other requisite documents, writings and deeds as may deemed necessary or expedient  
to give effect to this resolution.

AND RESOVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence  
of any Directors or of any one director and company Secretary, who shall sign the same in token of their presence.†

F o r   ó ó ó ó ó ó ó ó ó ó ó ó L t d .

Chairman/Company Seceretary/All Trustees

Specimen Signatures of the Authorised Persons

Sl. No.	Name	Specimen Signatures
1.	_____	_____
2.	_____	_____
3.	_____	_____

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/  
Trust.

**DECLARATION TO BE GIVEN BY CORPORATES**  
**(To be obtained on Pre-printed Letter Head of Company)**

To,  
**RNA CAPITAL MARKETS LIMITED**

37-A, Bentinck Street  
Room No. 314, 3rd Floor  
Kolkata 700 069

Dear Sir,

We hereby certify that the following resolution of the Board Of Directors of \_\_\_\_\_ Limited was duly passed at the Board meeting held on \_\_\_\_\_ that :

1. The company is empowered to deal in equities, derivatives, debentures, debt products and agrees to the terms of the Member as per Member Constituent Agreement.
2. The Member is hereby authorized to act on the oral or written instructions of any one or more of the following persons. He/they is /are authorized to operate the account and to deal in equities, derivatives, debentures, debt products and to sell, purchase transfer, endorse, negotiate documents and/ or otherwise deal through **RNA CAPITAL MARKETS LIMITED** on behalf of the Company \_\_\_\_\_. He/ they is/ are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

✓ Signature(s)

Name(s)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

✓ Signature of Chairman / Director \_\_\_\_\_

AND / OR

✓ Signature of Company Secretary \_\_\_\_\_

(Please attach a certified true copy of the resolution)

To,  
**RNA CAPITAL MARKETS LIMITED**  
 37-A, Bentinck Street  
 Room No. 314, 3rd Floor  
 Kolkata 700 069

**SUBJECT : AUTHORISATION OF GROUP / FAMILY DEALINGS**

Name of Family Member / Authorised Person	Client Code

I do hereby solemnly affirm and declare as under :

1. That the above mentioned authorized person / members of my family are regularly trading / investing through you on National Stock Exchange of India Ltd. (NSE) and/or Bombay Stock Exchange Ltd. (BSE). For all purpose of operations of my account with you, the above accounts shall be termed as Group Account.
2. That I hereby authorize you to sell shares standing in my account and to transfer the proceeds of the sale of such shares to the above mentioned accounts to set off all outstanding debit amounts in their respective accounts including interest on delayed payments.
3. That I hereby authorize you to set off a part of whole of the collateral i.e. by way of appropriation of relevant amount of cash or by sale of transfer of all or some of the securities placed as margin/collateral, and/or any account of the client or of the members of the family of the client Online or Offline accounts in capital market/Derivative market segments or Depository account with the Trading Member against the outstanding dues in the account of the client and/or of the member of the family of the client under this agreement and or any of the above mentioned segments and Depository account with the Trading Member. The above mentioned family members/authorized person/group persons is / are also authorized to receive all documents from RNA CAPITAL MARKETS LIMITED and is / are further authorized to do all acts necessary for operation in any account. All transaction, inter alia include transfer of any or entire funds to his/her/their account with you or otherwise and thereafter withdrawal of any or entire funds to his/her/their name. That agree to intimate you from time to time of any additions or elections of group/family members in the group/family. I agree that any deletion shall take effect only on completion of settlement and adjustments of balance in all the accounts of the member of the group/family.  
 In order to facilitate operations, I authorize the member to maintain a running account instead of settlement to settlement clearance of dues or delivery of securities to me and no interest shall be payable by the member on the same.
4. That I have given the above authority to RNA CAPITAL MARKETS LIMITED with my free consent and without any pressure, threat or coercion from any corner whatsoever.
5. That in future I shall not make any claim from RNA CAPITAL MARKETS LIMITED in any manner whatsoever of any collateral adjusted from cash or securities in my account to set off the outstanding debit amounts in the above mentioned accounts and I further state that if any body on my behalf claims the above said adjusted amount, the said act shall be null and void and shall be ineffective from all corners.
6. That this is my true irrevocable statement and shall remain binding on me.
7. That I hereby undertake to intimate you from time to time of any additions of the Constituents to the said Group Account for the purpose of either allowing them to trade on my behalf or for the purpose of adjustment of balance inter se.

Signature ✓ \_\_\_\_\_

Name of Client :

Client Code :

# **RNA CAPITAL MARKETS LIMITED**

**MEMBERS - THE NATIONAL STOCK EXCHANGE OF INDIA LTD.  
SEBI REGN. NO. INB 231234734 / INF 231234734  
BOMBAY STOCK EXCHANGE LIMITED  
SEBI REGN. NO. INB 011234730**

**REGD. OFFICE :  
37-A, BENTINCK STREET  
3RD FLOOR, ROOM NO. 314  
KOLKATA - 700 069  
PH. : 2243-5327, 2248-5573  
FAX : 033-40063017**

**DEALING OFFICE :  
G-501, BLCOK - DC  
CITY CENTRE, SALT LAKE  
KOLKATA - 700 064  
PH. : 4006-3007  
FAX : 033-40063017**



## **CLIENT AGREEMENT FORM FOR CAPITAL / DERIVATIVES MARKET**

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### **Internal track sheet - for office use**

Date of receipt of	Name of Applicant	_____
Application set at H.O. _____	Code allotted	_____
Verification of completeness	Group	_____
<input type="checkbox"/> Complete _____	Location	_____
<input type="checkbox"/> Incomplete _____	Relationship Manager/ Authorised Person	_____
Code allotment date _____		

## PLEASE READ THE FOLLOWING INSTRUCTION

### Instructions for filling up and completing the account opening document :

- 1. Please ensure that the form is complete in all respects and copies of the required documents are attached.
- 2. Pin code is compulsory in the address details.
- 3. Please put full signature at the bottom of each page and other places marked for this purpose.
- 4. Original documents will be required for verification at the time of submission of the form.
- 5. Please fill all information in capital letters.
- 6. Please affix (not staple) a passport size photograph(s) on the space provided. Also, provide separate photograph(s) for each Holder/Partner/Key Management Personnel.
- 7. Please furnish photocopy of original cheque through which initial credit is being provided to RNA CAPITAL MARKETS LIMITED.

### Documents check List

#### Individual

- 1. A passport size photograph
- 2. Proof of the Demat Account
- 3. Proof of Bank Account
- 4. Photocopy of PAN
- 5. Identity proof-Photocopy of any one of the following.  
(i) Passport (ii) PAN Card (iii) Voter ID Card (iv) Driving License (v) Ration Card with frequently used Bank Account and Depository Account in name of the Constituent (vi) MAPIN UID Card.
- 6. Address Proof-Photocopy of any one of Driving License/Passport/Ration Card/Voter Card/Telephone Bill/Electricity Bill/Bank Statement/Insurance Policy/Certificate issued by employer registered under MAPIN.
- 7. Running Account Authority Letter as per prescribed format
- 8. Letter from Banker certifying bank account number

#### Minor

- 1. All Documents and Annexure as required for **Individual**.
- 2. Birth certificate of minor.
- 3. Letter from guardian as per prescribed format

#### Proprietorship Firm

- 1. All Documents and Annexure as required for **Individual**.
- 2. A declaration on the letter head of the firm as per prescribed format
- 3. Affix rubber stamp at all places except at the bottom of the declaration as per prescribed format
- 4. Running Account Authority Letter as per prescribed format

#### Partnership Firm

- 1. Certified true copy of the Partnership Deed
- 2. Copy of PAN/Passport/Election ID or Driving License of all Partners/Authorised officials.
- 3. A passport size photograph of all the partners.
- 4. Proof of the Demat Account (it should be joint account where all the partners are signatories).
- 5. Copy of last Income Tax Return filed.
- 6. Authority letter by all the partners in favor of Managing Partner as per prescribed format
- 7. Affix rubber stamp at appropriate places.
- 8. Running Account Authority Letter as per prescribed format
- 9. List of all partners and their residential address.

#### HUF

- 1. Copy of PAN of HUF
- 2. Running Account Authority Letter as per prescribed format
- 3. Signature of Karta and all the major co-parcener on the Declaration given in prescribed format

#### Corporates

- 1. Copy of PAN of the company.
- 2. Copy of PAN / Passport / Voter ID / Ration Card or Driving License of Director / Authorized official.
- 3. Certified true copy of balance sheets for last two years (copy of balance sheet to be submitted every year)
- 4. A passport size photograph of the Director/Authorized official.
- 5. Proof of the Demat Account.
- 6. Verification/Attestation of signature of Directors by the Bank.
- 7. Running Account Authority Letter as per prescribed format
- 8. List of Directors and Promoters and their residential address.
- 9. Copy of Memorandum & Articles of Association of the Company.
- 10. Networth certificate by a Chartered Accountant.
- 11. Letter from Banker certifying account no. and the period for which the company account has been operative and Attestation of signatures of Promoters/Directors/Key Managerial Persons.
- 12. Names of Whole Time Directors and their residential address.