

Pen down your happiness

in the form of prosperity



Raghunandan Capital Pvt. Ltd

EXCHANGE/DEPOSITORY	SEGMENT	MEMBER ID	SEBI REGISTRATION NO.
NSE	CASH, F&O, CDS, COMMODITY	13176	INZ000307234
BSE	CASH, F&O, CDS, COMMODITY	6112	INZ000307234
MSEI	CURRENCY	16110	INZ000307234
MCX	F&O	56835	INZ000307234
NCDEX	F&O	1296	INZ000307234
CDSL		69700	IN-DP-213-2016

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Ph.: 0562-4266600, 9568654321 Fax: 0562-2526550 E-mail: askus@rmoneyindia.com

CLEARING MEMBER DETAILS

EXCHANGE	SEGMENT	CLEARING MEMBER NAME	CLEARING CODE	SEBI REGISTRATION NO.
NSE	F&O, CDS	GLOBE CAPITAL MARKET LTD.	M50302	INZ000177137
BSE	F&O, CDS	GLOBE CAPITAL MARKET LTD.	3179	INF230663732
MCX	F&O	GLOBE DERIVATIVES & SECURITIES LTD.	9650	INZ000024939
NCDEX	F&O	RAGHUNANDAN CAPITAL PVT. LTD.	M51107	INZ000307234

609, Ansal Bhawan, 16, Kasturba Gandhi Marg, New Delhi-110001 • Tel.: 011-30412345

Annexure-I: Risk disclosures

RISK DISCLOSURES ON DERIVATIVES

- 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses.
- On an average, loss makers registered net trading loss close to Rs. 50,000.
- Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs.
- Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

INDEX OF DOCUMENTS

S. No.	Name of Document	Brief Significance of the Document	Page No.
PART - I MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC Form - Part - I Documents captures the basic information about the constituent and instruction/check list (to be sent to KRA)	1 to 16
		B. KYC Form - Part - II Documents captures the additional information about the constituent relevant to trading account.	17 to 21
		C. KYC Form - Part - III Documents captures the additional information about the constituent relevant to demat account.	22 to 25
		D. Nomination Form - for Demat & Trading Account	26 to 28
2.	Tariff Sheet	Document details the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (to be added by the stock Broker)	29
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		Forming part of the Terms and Conditions for providing research services	
4.	Rights and Obligations	Document stating the Rights & Obligation of Stock Broker/Trading Member, Sub broker and client for Trading on exchanges (including additional Rights and Obligations in case of Internet/Wireless Technology based Trading)	Provided in soft or paper form as opted by client
5.	Risk Disclosure Document (RDD)	Documents detailing Risk associated with dealing in the Securities Market.	
6.	Guidance Note	Document detailing Do's & Don'ts for Trading on exchange, for the education for the investors.	
7.	Policies & Procedures	Documents describing significant policies and procedures of the stock broker (to be added by the stock broker)	
8.	Rights and Obligations of BO	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories.	
PART - II VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
9.	Letter for NSE-MFSS / BSE STAR Mutual Fund	NSE-MFSS / BSE STAR Facility and Terms & Conditions	32
10.	Letter of Authorization	For maintaining account on running basis.	33 to 34
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12.	SLBM Agreement	Participant-Client Agreement for Securities Lending and Borrowing	36 to 41
13.	Consent / Authorization to avail MTF	Consent / Authorization to avail Margin Trading Funding	42
14.	Authorization for Electronic Contract Notes (ECN)	Authorization to member for issuing ECN and other documents in electronic form	43
15.	Name Discrepancy Letter	Declaration cum Undertaking for Name Discrepancy in PAN Card, Bank Proof & Address Proof	44

PART - III ADDITIONAL DOCUMENTS FOR DEPOSITORY ACCOUNT

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3.	Schedule of Charges	Schedule of service charges for DP	49
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PART - IV FORMATS*

1.	Sole Proprietorship Declaration	Declaration to be provided on proprietorship firm's letter head to map the firm's bank account and route transactions from that bank account.
2.	Partnership Declaration	Declaration to be provided on partnership firm on their letter head to open trading account on name of firm, DP account on name of partners and appoint authorized signatories.
3.	HUF Declaration	Declaration to be given by HUF coparceners for opening trading and DP account on the name of Karta/HUF.
4.	Board Resolution Format	Board Resolution to be given by company on their letterhead to open trading, DP account and appointing authorized signatories.
5.	Banker's Verification Format	Letter to be provided by investor on Bank's Letter Head for verification of signature.
6.	Disclosure for Derivative/ Financial	Declaration to be provided by investor to enable F & O Trading with relevant income proof.
7.	Format for non individual	To provide additional details of KARTA/Whole Time directors/All Partners/Promoters & Trustees.
8.	KRA for Individual	Format for KRA registration need to be filled by all joint holders/authorized signatories in case of joint holders/non-individual account.

*Formats are available on our website www.rmoneymoneyindia.com under download section.

CONTACT DETAIL FOR INVESTOR GRIEVANCES

For any grievance/dispute please mail us at complaint@rmoneymoneyindia.com or contact us on 0562-4266600, 9568654321. In case not satisfied with the response, please contact the concerned exchange(s)/depository at :

Exchange Name	E-mail ID	Phone No.
National Stock Exchange of India Ltd.	ignse@nse.co.in	011-49393000
Bombay Stock Exchange Ltd.	iscdelhi@bseindia.com	011-43007413
Central Depository Services (India) Ltd.	complaints@cdslindia.com	022-22723333
Multi Commodity Exchange of India Ltd.	grievance@mcxindia.com	022-67318888
National Commodity & Derivative Exchange Ltd.	ig@ncdex.com	022-66406789
Indian Commodity Exchange	grievance@icexindia.com	022-40381554
You can also lodge your grievances with SEBI at HYPERLINK " http://scores.sebi.gov.in/ " Filing of complaints on SEBI Complaint Redress System (SCORES) Easy & quick Register on SCORES portal	https://scores.sebi.gov.in/ Mandatory details required for filing complaints on SCORES - NAME, PAN, ADDRESS, EMAIL, MOBILE.	BENEFITS - Effective communication Speedy redressal of the grievance For any queries feedback and assistance related to scores contact 1800227575/18002667575

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual
Important Instructions:

- A) Fields marked with "*" are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)	Application Type*	☐ New	☐ Update
	KYC Number		
	Account Type*	☐ Normal	☐ Digilocker KYC
		☐ KRA based KYC	

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
Marital Status*	☐ Married ☐ Unmarried ☐ Others			
Citizenship*	☐ IN- Indian ☐ Others (ISO 3166 Country Code)			
Residential Status*	☐ Resident Individual ☐ Non Resident Indian			
	☐ Foreign National ☐ Person of Indian Origin			
Occupation Type*	☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector) ☐ O-Others (☐ Professional ☐ Self Employed ☐ Retired ☐ Housewife ☐ Student) ☐ B-Business ☐ X- Not Categorised			
PAN*				

PHOTO


Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*	
Tax Identification Number or equivalent (If issued by jurisdiction)*	
Place / City of Birth*	
ISO 3166 Country Code of Birth*	

☐ **3. PROOF OF IDENTITY (PoI)*** (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

☐ A- Passport Number		Passport Expiry Date	
☐ B- Voter ID Card		Driving Licence Expiry Date	
☐ C- Driving Licence		Identification Number	
☐ D- UID (Aadhaar)		Identification Number	
☐ E- NREGA Job Card			
☐ Z- Others (any document notified by the central government)			
☐ S- Simplified Measures Account - Document Type code			

4. PROOF OF ADDRESS (PoA)*
☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving Licence	☐ UID (Aadhaar)	☐ Others	
	☐ Voter Identity Card	☐ NREGA Job Card			
	☐ Simplified Measures Account - Document Type code				

Address

Line 1*	
Line 2	
Line 3	
District*	
Pin/Post Code*	
State	
City / Town / Village*	
Country	

Documents Received	☐ Self Certified Copies																						
IPV / KYC VERIFICATION CARRIED OUT BY		INSTITUTION DETAILS																					
Date	<table><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></table>	D	D	M	M	Y	Y	Y	Y	Place	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>									Name	Raghunandan Capital Pvt. Ltd.		
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Emp. Branch	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																						
[Employee Signature]																							

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form
A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name : The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse, name, Father's name.

B. Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address' :

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated entity (RE) shall redact (first 8 digit) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means and electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository.

C Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two - digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999)
- 2 Do not add '0' in the beginning of Mobile number.

D Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person, if available.

E Clarification on Minor

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only.
- 2 However, in case guardian details are available for minor above 10 year of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two - digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U. T.	Code	State / U. T.	Code	State / U. T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Côte d'Ivoire	CI	Korea, Democratic People's Republic	KP	Reunion Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Curaçao Curaçao	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals
Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
- F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

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

☐ Name*

Entity Constitution Type*

☐ Others (Specify)

(Please refer instruction B at the end)

Date of Incorporation / Formation*

Date of Commencement of Business

Place of Incorporation / Formation*

Country of Incorporation / Formation*

TIN or Equivalent Issuing Country

PAN*

☐

Form 60 furnished

TIN / GST Registration Number

☐ **2. PROOF OF IDENTITY (PoI)*** (Please refer instruction **B** at the end)

☐ Officially void document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn. Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power or attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS*** (Please refer instruction **C** at the end)

3.2 Local Address in India (If different from Above)*

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2

Line 3

District*

Pin/Post Code*

State/U.T Code*

ISO 3166 Country Code*

3.1 Registered Office Address / Place of Business*

Line 1*

Line 2

Line 3

District*

Pin/Post Code*

State/U.T Code*

ISO 3166 Country Code*

☐ **4. CONTACT DETAILS** (All communication will be sent to Mobile number / E-mail ID provided may be used) (Please refer instruction **D** at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS**

 (Please refer instruction **E** at the end)

Signature / Thumb Impression of Authorised Person(s)

[illegible]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individual KYC Application Form
A Clarification / Guidelines for filing Entity Details section

- Entity Constitution Type:

A - Sole Proprietorship	H - Trust	O - Artificial Jurisdical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency / Foreign Embassy or Consular Office etc.
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Artificial Juridical Person	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/State Government Department or Agency	
G - Association of Persons (AOP) / Body of Individuals (BOI)	N - Section 8 Companies (Companies Act, 2013)	
- In case of companies and partnership, PAN of the entity is mandatory. In case of other entities, FORM 60 may be obtained if PAN is not available

B Clarification / Guidelines for filing 'Proof of Ideneity [Pol]' section

- Activity Proof - 1 and Activity Proof - 2 are applicable for account in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
- Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
- Certified copy of document or equivalent e-document or OVD obtained through Digital KYC Process to be submitted.
- 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of information by Intermediaries Providing Digital Locker Facilities) Rules, 2016
- 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filing 'Proof of Address [PoA]' section

- State / U.T. Code and PIN / Post Code will not be mandatory for Overseas addresses.
- Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filing 'Contact Details' section

- Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile Number.

E Clarification / Guidelines for filing 'Related Person Details' section

- Personal Details
 - The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- Proof of Address [PoA]
 - PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Cental Identities Data Repository.
- If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
- Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authorised persons is to be made by the RE.

Annexure A2 | Legal Entity / Other than Individuals

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number of applicant is mandatory for update application.
 F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instructions at the end.
 I) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* ☐ New ☐ Update ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

☐ 1 DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details
 KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory
Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)
 DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Prefix First Name Middle Name Last Name
 Name* (Same as ID proof)
 Maiden Name
 Father / Spouse Name
 Mother Name
 Date of Birth* DD - MM - YYYY
 Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender
 Nationality* ☐ IN-Indian ☐ Others (ISO 3166 Country Code)
 PAN* Form 60 furnished

☐ 1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

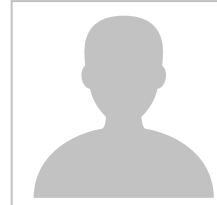
I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

PHOTO*



Address

Line 1*
 Line 2
 Line 3 City / Town / Village*
 District* Pin/Post Code* State/U.T Code* ISO 3166 Country Code*

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction E at the end)

☐ Same as above mentioned address (in such cases address details as below need not be provided)

I Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

- ☐ A- Passport Number
☐ B- Voter ID Card
☐ C- Driving Licence
☐ D- NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin/Post Code* State/U.T Code* ISO 3166 Country Code*

☐ **1.4. CONTACT DETAILS** (All communications will be sent on provided Mobile no./ Email ID) (Please refer instruction **D** at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

2. APPLICANT 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/we am/are aware that I/we may be held liable for it.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

 Date : - -

 Place :


[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification

☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **Raghunandan Capital Pvt. Ltd.**

Code **IN0088**

[Institution Stamp]

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

F. IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:

Types of entity	Documentary Requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership Firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.

Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

ADDITIONAL DOCUMENTS IN CASE OF TRADING IN DERIVATIVES SEGMENTS - ILLUSTRATIVE LIST :

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net Worth Certificate
Copy of Demat Account Holding Statement	Bank Account Statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the Company need to be provided by the client from time to time.

Bank Proof: Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

Demat Proof: Demat master or recent holding statement issued by DP bearing name of the client.

In-person Verification:

For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For Non Individuals : Form need to be initialed by all the authorized Signatories.

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

Please fill this form in ENGLISH and in BLOCK LETTERS

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No.

IDENTITY DETAILS

Name of the Applicant			PHOTOGRAPH Please affix your recent passport size photograph and sign across it
Date of Incorporation			
Place of Incorporation			
Date of commencement of business			
Permanent Account Number (PAN)			
Registration No. (e.g. CIN)			
Status (Please tick any one)	☐ Private Limited Co	☐ Public Ltd. Co.	☐ Body Corporate
	☐ Partnership	☐ Trust	☐ Charities
	☐ NGO's	☐ FI	☐ FII
	☐ HUF	☐ AOP	☐ Bank
	☐ Government Body	☐ Non-Government Organization	☐ Defense Establishment
	☐ BOI	☐ Society	☐ LLP
	☐ Others (Please specify)		

ADDRESS DETAILS

Correspondence Address			
City / Town / Village		Pin Code	
State		Country	
Specify the Proof of Address submitted for Correspondence Address:			

CONTACT DETAILS

Telephone (Office)		Fax	
Telephone (Residence)		Mobile No.	
E-Mail Id.			

REGISTERED ADDRESS

(If different from above)

Registered Address			
City / Town / Village		Pin Code	
State		Country	
Specify the Proof of Address submitted for Registered Address			

OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors, DIN of whole time directors, Aadhar No. of Promoters / Partners / Karta :
 Enclosed these details separately (illustrative format enclosed)

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 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.

Date

 Name & Signature of the
 Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY
☐ Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

Date

Place

DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

1. Name			PHOTOGRAPH Please affix your recent passport size photograph and sign across it
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)			
3 a. PAN			
3 b. DIN			
3 c. Aadhar (UID) Number			
4. Residential/ Registered Address			
City/Town/Village		Pincode	
State		Country	

1. Name			PHOTOGRAPH Please affix your recent passport size photograph and sign across it
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)			
3 a. PAN			
3 b. DIN			
3 c. Aadhar (UID) Number			
4. Residential/ Registered Address			
City/Town/Village		Pincode	
State		Country	

1. Name			PHOTOGRAPH Please affix your recent passport size photograph and sign across it
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)			
3 a. PAN			
3 b. DIN			
3 c. Aadhar (UID) Number			
4. Residential/ Registered Address			
City/Town/Village		Pincode	
State		Country	

1. Name			PHOTOGRAPH Please affix your recent passport size photograph and sign across it
2. Relationship with Applicant (i.e. promoters, whole time directors etc.)			
3 a. PAN			
3 b. DIN			
3 c. Aadhar (UID) Number			
4. Residential/ Registered Address			
City/Town/Village		Pincode	
State		Country	



 Name & Signature of the Authorised Signatory (ies)

 Date

ADDITIONAL DETAILS FOR TRADING ACCOUNT
(FOR INDIVIDUALS & NON-INDIVIDUALS)
A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code	UPI ID Details
			☐ Saving ☐ Current ☐ Others-in case of NRI / NRE / NRO			
			☐ Saving ☐ Current ☐ Others-in case of NRI / NRE / NRO			

Provide a copy of cancelled cheque leaf/pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the Bank.

Validated and Exclusive UPI IDs for Payment Collection by SEBI Registered Intermediaries from Investors-

For Depository- Raghunandancapital.dp@validicici

For Exchanges - Raghunandancapital.1.brk@validhdfc & Raghunandancapital.brk@validhdfc

B. DEPOSITORY ACCOUNT(S) DETAILS (THROUGH WHICH TRANSACTIONS SHALL GENERALLY BE ROUTED)

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID								Beneficiary ID (BO ID)							
Raghunandan Capital Pvt. Ltd.	☐ NSDL ☒ CDSL		1	2	0	6	9	7	0	0								
	☐ NSDL ☐ CDSL																	

Provide a copy of either Demat Client Master or a recent holding statement issued by DP bearing name of the client.

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE				MCX, NCDEX BSE & NSE
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____

D. FINANCIAL & OCCUPATION DETAILS

Gross Annual Income Details: Income Range per annum :

☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

 Net Worth (Net worth should not be older than 1 year) Amount Rs
 as on (date).....

Occupation (please tick any one and give brief details)

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist
☐ Retired ☐ Housewife ☐ Student ☐ Self Employed ☐ Others_____

Please tick, if applicable (Note : In case of Non-individuals please tick, if applicable for any of your authorised signatories/ Promoters/Partners/Karta/Trustees/whole time directors) :

☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP) ☐ Not a Politically Exposed Person (NPEP)

Any other information_____

Family Code Group (if any)_____

CATEGORIZATION IN COMMODITIES DERIVATIVES SEGMENTS

Note : According to SEBI Circular No. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 and the circular of Recognized Stock Exchange having Commodity Derivative Segment.

Please select exchange :

☐ NSE Commodity
 ☐ BSE Commodity
 ☐ MCX
 ☐ NCDEX
 ☐ ICEX
 ☐ All Segment

Please select categories and product type :

Categories	Product Types				
☐ Farmer / FPOs	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Value Chain Participants (VCPs)	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Foreign Participant	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Domestic Financial Institutional Investor	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All
☐ Other (Specify	☐ Bullions	☐ Base Metal	☐ Energy	☐ Agri Commodities	☐ All

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 change 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.

Client Name	
Client Signature	
Enclosure :	☐ Copy of PAN Card

E. PAST ACTIONS

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

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name					
SEBI Registration number					
Registered office address					
Phone		Fax		Website	
Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of stock broker					
Name of Sub-Broker, if any :					
Client Code		Exchange			
Details of disputes/dues pending from/to such stock broker/sub- broker :					

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : ☐ YES ☐ NO	
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify) :	
Number of years of Investment/Trading Experience :	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	

PHOTOGRAPH Sign across the Photograph		PHOTOGRAPH Sign across the Photograph	
Name		Name	
Designation		Designation	
PAN		PAN	
UID		UID	
Residential Address		Residential Address	
Signature		Signature	
Any other information		Any other information	

H. INTRODUCER DETAILS (optional)

Name of the introducer					
Status of the Introducer	Sub Broker ☐	Remisier ☐	Auth. Person ☐	Existing Client ☐	Others ☐
Address and Ph. No. of the Introducer					
Sign. of the Introducer					

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker' designated website, if any.
4. I am hereby submitting self certified blackout copy of Aadhar with my due consent for opening the above said account associated to my investment with Raghunandan capital Pvt. Ltd

Place _____

Date _____

Client Signature  _____

CLIENT DEFAULTER DECLARATION

I _____ having PAN _____ do hereby declare that I have not been involved in any unlawful activities and I have not been declared a defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc. I further declare that the above mentioned declaration/ statement is true and correct.

Client Signature  _____

UCC _____

FOR OFFICE USE ONLY

UCC Code allotted to the Client			
	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory _____

Date _____

Seal / Stamp of the Stock Broker

ADDITIONAL DETAILS FOR OPENING A DEMAT ACCOUNT (FOR INDIVIDUAL)

IDENTITY DETAILS									
Application No.		Date							
DP Internal Reference No.									
DP ID	12069700		Client ID						

HOLDERS DETAILS			
Sole/First Holder's Name	PAN		
	UID		
Second Holder's Name	PAN		
	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.

*In Case Of Joint Accounts -The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority".

TYPE OF ACCOUNT (Please tick whichever is applicable)			
☐ Individual	☐ Individual Resident	☐ Individual Director	☐ Individual Director's Relative
	☐ Individual HUF/AOP	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/c (Mantra)	☐ Others (Specify)	
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable	☐ NRI Repatriable Promoter
	☐ NRI Non-Repatriable Promoter	☐ NRI - Depository Receipts	
	☐ Others (Specify)		
☐ Foreign National	☐ Foreign National	☐ Foreign National-Depository Receipts	
	☐ Others (Specify)		

DETAILS OF GUARDIAN (in case the account holder is minor)			
Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')		[Automatic Credit] ☐ Yes ☐ No	
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be 'No')		☐ Yes ☐ No	
Account Statement Requirement	As per SEBI Regulation ☐	Daily ☐	Weekly ☐ Fortnightly ☐ Monthly ☐
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id_____		☐ Yes ☐ No	
I/We would like to share the email ID with the RTA		☐ Yes ☐ No	
I/We would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)			
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		☐ Yes ☐ No	
Mode of Operation	☐ Jointly ☐ Anyone or Survivor ☐ Sole Holder		
Communication Preference	☐ First Holder ☐ All Holders		

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)					
IFS Code (11 Character)					
Account Number					
Account Type	Saving ☐	Current ☐	Others (specify) ☐		
Bank Name					
Branch Name					
Bank Branch Address					
	City		State		Country
PIN					
1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) 2. Photocopy of the Bank Statement having name and address of the BO. 3. Photocopy of the Passbook having name and address of the BO, (or) 4. Letter from the Bank. In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.					

OTHER DETAILS

Gross Annual Income Details (please specify) : Income Range per annum	
Below Rs 1 Lakh ☐	1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lakh to 1 Cr ☐ >1Cr ☐
Or Net-worth as on _____ date _____ (Net worth should not be older than 1 year)	
SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-..... ☐ Yes ☐ No [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.

Display of Nomination (if opted) on Statement of Transaction :

Nominee Name _____ Nominee flag (Yes/No) _____

DECLARATION

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			
Signature			

(Signatures should be preferably in Black ink)

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (FOR NON-INDIVIDUAL)
IDENTITY DETAILS

Application No.		DP Internal Ref. No.	
DP ID	12069700	Client ID	

HOLDERS DETAILS

Sole/First Holder's Name	PAN	
	UID	
	UCC	
Second Holder's Name	PAN	
	UID	
Third Holder's Name	PAN	
	UID	
Search Name		

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 made applicable.

TYPE OF ACCOUNT (Please tick whichever is applicable)

Status						Sub-Status (To be filled by the DP)
☐ Body Corporate	☐ Banks	☐ Trust	☐ Mutual Fund	☐ OCB	☐ FII	
☐ CM	☐ FI	☐ Clearing House	☐ Other (Specify)			
SEBI Registration No. (if applicable)				SEBI Registration Date		
RBI Registration No. (if applicable)				RBI Approval Date		
ROC Registration No. (if applicable)				ROC Registration Date		
Nationality		☐ Indian		☐ Others (specify)		

I/We instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly ☐
I/We request you to send Electronic Transaction-cum-Holding Statement at the email Id _____	☐ Yes ☐ No
I/We would like to share the email ID with the RTA	☐ Yes ☐ No
I/We would like to receive the Annual Report ☐ Physical ☐ Electronic ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No

CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	
Do you wish to receive dividend/interest directly in to your bank account given below through ECS? (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]			☐ Yes ☐ No

BANK DETAILS (Dividend Bank Details)

Bank Code (9 digit MICR Code)			
IFS Code (11 Character)			
Account Number			
Account Type	Saving ☐	Current ☐	Others (specify) ☐
Bank Name			
Branch Name			
Bank Branch Address	City	State	Country
			PIN
1. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) 2. Photocopy of the Bank Statement having name and address of the BO. 3. Photocopy of the Passbook having name and address of the BO, (or) 4. Letter from the Bank. In case of option (ii), (iii) and (iv) above, MICR Code of the branch should be present/mentioned on the document.			

OTHER DETAILS

Gross Annual Income Details (please specify) : Income Range per annum	
Below Rs 1 Lakh ☐	1-5 Lakh ☐ 5-10 Lakh ☐ 10-25 Lakh ☐ 25 Lakh to 1 Cr ☐ >1Cr ☐
Or Net-worth as on _____ date _____ (Net worth should not be older than 1year)	
SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: +91-..... ☐ Yes ☐ No [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.
Display of Nomination (if opted) on Statement of Transaction :	
Nominee Name _____ Nominee flag (Yes/No) _____	

I/We have read the Rights and Obligations of Beneficial Owner & DP 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signatures			

(Signatures should be preferably in black ink)

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

NOMINATION FORM (for Trading & Demat A/c)
(Annexure-A)

(SEBI/HO/OIAE/OIAE_IAD-3/P/ON/2025/01650, dated January 10, 2025)

I/We hereby nominate the following persons(s) who shall receive all the assets held in my/our account /folio in the event of my/our demise, as trustee and on behalf of my/our legal heir(s)*

NOMINATION DETAILS

	Mandatory Details						Additional Details	
	Name of Nominee	Share of Nominee (%)**	Relation-ship	Postal Address	Mobile No. & E-mail	Identity Number	D.O.B.	Guardian
Nominee 1								
Nominee 2								
Nominee 3								
Nominee 4								
Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts :

Event	Transmission of Account / Folio No.
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously - having nominee	Nominee
Demise of all joint holders simultaneously - not having nominee	Legal heir(s) of the youngest holder

** If % is not specified, then the assets shall be distributed equally amongst all the nominees (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required.

**** to be furnished only in following conditions / circumstances :

- Date of Birth (DoB) : please provide, only if the nominee is minor.
- Guardian : It is optional for you to provide, if the nominee is minor.

(1) I/We want the details of my/our nominee to be printed in the statement of holding, provided to me/us by the AMC/ DP as following : (please tick, as appropriate).

☐ Name of Nominee(s)

☐ Nomination : Yes / No.

- (2) I hereby authorize _____ (nominee number _____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He/She is authorized to encash my assets up to _____ % of assets in the account/folio or Rs. _____
 (strike off portions that are not relevant)
- (3) This nomination shall supersede any prior nomination made by me/us, if any.

Holder	Name	Signature of Holder	Witness Signature*
Sole / First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

* Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee :

- If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of the this circular.
- You can make nomination or change nominee any number of times without any restriction.
- You are entitled to receive acknowledgement from the AMC/DP for each instance of providing or changing nomination.
- Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- In case all your nominees do not claim the assets from the AMC/DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- You have the option to designate any one of your nominees to operate your account / folio, if case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign.
 - 'First holder' Folios / Accounts - only First holder can sign.
 - 'Jointly' Folios / Accounts - all holders have to sign.

Transmission Aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC/DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.
- In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address (es), mobile number(s), email address (es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% Share	Nominee	% initial share	% of A's share to be apportioned	Total % Share
A	60%	A	0	0	0
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

DECLARATION FORM FOR OPTING OUT OF NOMINATION
(Annexure-B)
Raghunandan Capital (P) Ltd.

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

DATE	D	D	M	M	Y	Y	Y	Y	UCC							
------	---	---	---	---	---	---	---	---	-----	--	--	--	--	--	--	--

DP ID									Client ID							
-------	--	--	--	--	--	--	--	--	-----------	--	--	--	--	--	--	--

Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / 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 trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

 Signatures
of Holder(s)



Signature of 1st Holder



Signature of 2nd Holder



Signature of 3rd Holder

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

TARIFF SHEET

CAPITAL MARKET SEGMENT

Brokerage Slab	Slab in %	Minimum per Share
Delivery Based		
Intra day		

F & O SEGMENT

Brokerage Slab	Slab in %	Delivery	Minimum per Lot
Future			
Options			

CURRENCY DERIVATIVES SEGMENT

Brokerage	Slab in %	Minimum Brokerage per Lot
Future		
Options		

COMMODITY SEGMENT

Brokerage Slab	Slab in %	Physical Delivery	Minimum per Lot
Future			
Options			

B. OTHER CHARGES

Particular	Capital Market Segment		Derivative Segment		Currency Derivative Segment		Commodity Segment	
Charges	Delivery	Jobbing	Futures	Option	Futures	Option	Futures	Option
Stamp Duty & Other charges								
Transaction Charges	Will be charged as per current applicable rate including any revisions in concern segments with respective exchanges.							
GST	As per the provision of Central Goods & Service Tax Act, 2017 and as amended from time to time							
STT	As per the provisions of STT Act and as amended from time to time							
CTT	As per the provisions of CTT Act and as amended from time to time							
Other Taxes	As may be applicable from time to time.							

NOTE :

- Charges/service standards are subject to revision at sole discretion of Raghunandan Capital Pvt. Ltd.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Transaction & clearing charges, Stamp duty, GST, SEBI Fee, STT, CTT, and all legal levies as may be applicable from time to time shall be charged separately in addition to the brokerage.
- In case Diet ID has been provided to the client a ID Charge @ _____ % of turnover or Rs. _____/- per month per segment shall be charged extra.
- Penalty for delay in payment of settlement /margin obligation shall be charged 18% p.a. on daily outstanding balance till settled in full. Further a penalty shall be levied at the rate 18% p.a. computed on daily basis on the excessive intraday trading exposure.
- For futures and options delivery bases trades, a minimum of Rs. 0.5% will be charged on physical value of delivery contract.
- All fines, penalties & charges paid on transactions done by the Client / Acts and deeds of the clients shall be recovered as per actual.

I/We, _____
 have read the above given information and agree to pay the charges / levies mentioned above.



(Signature of Client)

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

Signature: 

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(Forming part of the Terms and Conditions for providing research services)

1. These terms and conditions, and consent thereon are for the research services provided by the Research Analyst (RA) and RA cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.
2. The fee charged by RA to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

- 2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.
- 2.2. The fee limit does not include statutory charges.
- 2.3. The fee limits do not apply to a non-individual client / accredited investor.
3. RA may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one quarter. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.
4. Fees to RA may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).
5. The RA is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The RA will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.
6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the RA.
7. The RA cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the RA are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.
8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the RA shall be as per the client's own judgement and assessment of the conclusions contained in the research report.
9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the RA or assure any returns to the client.
10. For any grievances,
 - Step 1: the client should first contact the RA using the details on its website or following contact details:
(RA to provide details as per 'Grievance Redressal / Escalation Matrix')
 - Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at www.scores.sebi.gov.in
 - Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>
11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.
12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including RA.

Signature: 

LETTER FOR NSE MFSS / BSE STAR MF

From _____

To,

Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

Sub: Mutual Fund Service System (MFSS) facility of NSE/BSE STAR MF

I / We am / are registered as your client with Client Code as mentioned below for the purpose of trading in the Capital Market Segment.

I / We am / are interested in availing the facility of the following Exchange for the purpose of dealing in the units of Mutual funds Scheme permitted to be dealt with.

NSE MFSS ☐ BSE STAR MF ☐

For the purpose of availing the facility, I / We state that Know Your Client details as submitted by me/us for the securities broking may be considered for this purpose and I / We further confirm that the details contained in same remain unchanged as on date.

I / We am / are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I / We shall also ensure compliance with the requirements as may be specified from time to time by the Securities and Exchange Board of India and/ or Association of Mutual Funds of India (AMFI).

I / We shall read and understand the contents of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I / we choose to subscribe / redeem. I / We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I / We therefore request you to register me/ us as your client for participating in the MFSS/ BSE STAR MF.

Terms and Conditions

1. The client shall be bound by circulars issued by NSEIL/ BSE, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS/ BSE STAR MF or at any time thereafter.
3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
5. The client shall be wholly responsible for all his investment decisions and instruction.
6. The client shall ensure continuous compliance with the requirements of the NSEIL, BSE, SEBI and AMFI.
7. The Client shall pay to the Participant fees 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 Participant renders to the Client.
8. The client will furnish information to the Participant 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.
9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL/ BSE or NSCCL/ ICCL
10. In case of any dispute between the Participants and the investors arising out of this facility, NSEIL/BSE and / or NSCCL/ ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

Thanking You.

Yours faithfully

Signature: _____



Client Code: _____

Note: Signature required in case opted for NSE MFSS or BSE STAR MF on Trading Account details page

LETTER OF AUTHORISATION

To,

Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Sub : Letter of Authority

I/We am/are dealing in shares/securities/commodities with you in various exchange segments and in order to facilitate ease of operations. We authorize you as under :

1. Delivery of order/trade confirmation/cancellation :

I/We hereby authorize you not to provide me / us order confirmation / Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.

2. Telephonic Conversation :

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

3. Set off of outstanding:

I/We authorize you to set off outstanding in any of my / our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and / or against the value of cash margin or collateral shares provided to you by me / us. I further authorise you to debit the financial charges @ 18% per annum of the outstanding debit balance, if any, in my account and not settled as per the exchange requirement.

4. Charges & Balance Maintenance :

I/We have a Trading As well as depository relationship with Raghunandan Capital Pvt. Ltd. Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/We also agree to maintain the adequate balance in my/our trading account / pay adequate advance fee for the said reason.

I/we hereby agreed to maintain adequate cash collateral as per SEBI/ Exchange circular and always comply the above circular. In case of non-compliance as above, I/ we hereby authorized you as below :-

You, hereby reserve right to levy interest upto 2% per month, to be calculated on daily basis on shortage in cash collateral, if I/we fails to keep cash collateral upto 50% of total margin obligation for the day, which is essential requirement of the exchange.

Further, you, hereby reserve right to levy interest upto 2% per month, to be calculated on daily basis on shortage in total collateral, if I/we fails to keep total collateral upto 110% of total margin obligation for the day. This requirement is mandatory for the member towards the exchange

5. Authority for intimation

I/ we shall authorise you to send SMS and email to registered email/ mobile no. in respect of my Trading and Demat account.

6. Facsimile Authorisation

During the operation of my trading I may require to place order instructions through Fax/Scan, I therefore authorise you to honor the instruction and orders send through Fax/Scan copy send by me/ us.

Signature:  _____

7. Pro Trading Intimation :

I/We have been informed that RCPL is doing Pro trading in addition to trading for clients.

- 8.** I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/We can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.

9. Voluntary Freezing of Trading Account

I/we have been explained about voluntary freezing of trading account as per Sebi circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 and Exchange circular NSE/INSP/61529 and the same is made available on companies website under RMS policy.

- 10.** The DP or the Depository shall have the right to Freeze/Defreeze the accounts of beneficial owners on receipt of instructions from any regulator or court or any statutory authority

For and On Behalf of Constituent

Thanking you,

Yours faithfully

Signature:  _____

Name: _____

To,

Raghunandan Capital Pvt. Ltd.

Date : _____

26/257 B, Near Ashish Palace, Sultan Ganj, Agra - 282004

Dear Sir,

In terms of SEBI Circular No. CIR/MIRSD/64/2016 dated July 12, 2016, I/We have the option of receiving the following documents either electronically or physically:

- Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading);
- Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories;
- Uniform Risk Disclosure Documents (for all segments/ exchanges); and
- Guidance Note detailing Do's and Don'ts for trading on stock exchanges.
- Policies and Procedures as per SEBI Circular No. MIRSD/SE/CIR-19/2009 dated 03rd December, 2009
- I have read and understood the investor charter as available on companies website.
- Tariff Sheet
- Account Opening Form

Accordingly, I wish to receive the abovesaid documents in the below mentioned manner:

☐ Electronically ☐ Physically

Signature:  _____

Client Name : _____

RUNNING ACCOUNT AUTHORISATION

To,

Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,
Zone-5, DTA, Gandhinagar - 382050, Gujarat
Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Sub : Running Account Authorisation

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/or Interest Rate future Segment and/or Mutual Fund Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you otherwise.
2. I/We request you to settle my funds after making necessary retention as per frequency option given below:-

☐ Once in a calender Month☐ Once in every calender Quarter

except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards my settlement / margin obligations and may also retain the fund expected to be required to meet margin obligation, calculated in the manner specified by the exchanges.
4. I/We confirm you that I/We shall bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds or statement of account or statement related to it, as the case may be at your registered office.
5. This Running account authorization would continue until it is revoked by me by giving a notice in writing.

Thanking you

Yours faithfully,

Client Name : _____

Signature:  _____

Client Code : _____

PARTICIPANT-CLIENT AGREEMENT FOR SECURITIES LENDING AND BORROWING

This agreement is made and executed at _____ on this _____ day of _____ 20____.

Between:

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

_____, hereinafter referred to as **"Participant"** (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his/her heirs, executors and administrators/ the partners of the said firm for the time being, the survivor or survivors of them and the heirs, executors and administrators of such last survivor/its successors and legal representatives, as the case may be) of the **One Part**;

And

Mr./Ms./M/s. _____, an individual/a proprietary concern/a partnership firm / a body corporate, registered / incorporated under the provisions of the Indian Partnership Act, 1932 / Companies Act, 1956, having his /her / its Permanent Account Number _____ ("PAN") and his/her/its residence/registered office at _____

_____, hereinafter referred to as **"Client"** (which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include his /her heirs, executors and administrators /the partners for the time being of the said firm, the survivor or survivors of them and the heirs, executors and administrators of such last survivor/its successors and legal representatives, as the case may be) of the **Other Part**.

WHEREAS:

- i. The Securities and Exchange Board of India (hereinafter referred to as **"SEBI"**) has formulated and issued the Securities Lending Scheme, 1997 (hereinafter referred to as **"SEBI Scheme"**) and SEBI Circular No MRD/DoP/SE/Dep/Cir-14/2007 dated 20th December 2007 for facilitating lending and borrowing of securities through an "Approved Intermediary" registered with SEBI.
- ii. The AI is registered as an approved intermediary under the SEBI Scheme and is, therefore, authorised to facilitate lending and borrowing of securities in accordance with the SEBI Scheme and Circulars of SEBI from time to time. Accordingly, the AI has framed the Securities Lending and Borrowing Scheme (hereinafter referred to as **"SLBS"**) for facilitating lending and borrowing of securities through persons registered as "Participants".
- iii. Under the said SEBI Circular, there would be one master agreement with two individual parts. The first part of the agreement would be between the AI and the Participants and the second part of the agreement would be between the Participants and the Clients. Securities lending and borrowing can be undertaken by the Participants either on their own account or on account of the Clients registered with them by entering into an agreement with them.
- iv. Accordingly, the Participants who are desirous of lending or borrowing securities under the SLBS are required to enter into an agreement with the AI which shall be referred to as "Part A". The Participants are also required to enter into an agreement with their respective Clients which shall be referred to as "Part B". Part A and Part B together shall constitute the master agreement.
- v. The Participant has accordingly approached the AI for participating in the SLBS and the AI has agreed to facilitate such participation subject to the terms and conditions contained in the master agreement.
- vi. The Client is desirous of participating in the SLBS and, therefore, has approached the Participant. The Participant has satisfied itself about the genuineness and financial soundness of the Client and the

objectives relevant to the services to be provided and is therefore, agreeable to facilitating such participation subject to the terms and conditions contained herein.

- vii. The Participant has made the Client aware of and the Client has understood the precise nature of the Participant's liability under SLBS including any limitations, the liability and the capacity in which the Participant acts.
- viii. Subject to the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder, and/or the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable and as in force from time to time, the parties hereto agreed as under.

NOW THEREFORE THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS UNDER:

1. LEGAL FRAMEWORK

- 1.1. Securities lending and borrowing shall be facilitated by the AI in accordance with the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder by the AI and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation as applicable.
- 1.2. Unless the context otherwise requires, the words and expressions used herein shall have the same meaning as defined in Securities Contracts (Regulation) Act, 1956 or Securities and Exchange Board of India Act, 1992 or Securities Lending Scheme, 1997 or Depositories Act, 1996 or the rules and regulations made thereunder respectively or Circulars of SEBI or SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation.
- 1.3. The provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws and Regulations of the AI as a Clearing Corporation as applicable and Part A of the Master Agreement shall be deemed to be an integral part of this agreement and all the transactions under the SLBS by the Client shall be strictly in accordance with thereof. In the event of any conflict or contradiction between the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder and the Rules, Byelaws, Regulations of the AI as a Clearing Corporation as applicable, and this agreement, the provisions of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder, the Rules, Byelaws and Regulations of the AI as a Clearing Corporation shall prevail over this agreement. The provisions of this agreement are in addition thereto and not in derogation thereof.
- 1.4. The provisions of this agreement shall become applicable to the SLBS or such other scheme as may be framed for securities lending and borrowing by the AI with the prior approval of SEBI or as may be permitted by SEBI unless otherwise specified by the AI.
- 1.5. Master Agreement
 - 1.5.1. There shall be one Master Agreement with two individual parts viz. Part A and Part B.
 - 1.5.2. The agreement between the AI and the Participant constitutes Part A and this agreement constitutes Part B.
 - 1.5.3. The provisions of Part A shall form part and parcel of this agreement. A certified true copy of Part A is annexed to this agreement.

2. ELIGIBILITY CRITERIA

Any person(s) who meets the eligibility criteria as may be specified by the AI for the Clients under the SLBS, shall be eligible to participate in the SLBS by entering into this agreement with the Participant.

3. CONSIDERATION

In consideration of the Participant providing full-fledged securities lending and borrowing under the SLBS, the Participant shall be entitled for charges, fees, other levies and /or any such other charges, subject to such limits as may be permitted by the AI in its Circulars from time to time.

4. RIGHTS OF THE PARTICIPANT

4.1. Margins

The Participant is empowered to call upon the Client to pay such margins as may be specified by the AI from time to time.

4.2. Recovery

The Participant shall be entitled to recover from the Client the loss or charges, fees, other levies and /or any such other charges that has been paid by the Participant to the AI or imposed by the AI on account of its Client arising out of default or transactions under the SLBS whether current or past that are effected by the Client in meeting its obligations by adjusting margins and other deposits, if any, available with the Participant against the Client's liabilities / obligations.

5. OBLIGATIONS OF THE PARTICIPANT

5.1. Issue of Confirmation Memo

The Participant shall, upon execution of the Client's transaction on the order matching platform of the AI, issue the confirmation memo in the specified format or such other documents to the Client within such time as may be prescribed by the AI from time to time.

5.2. Money / Securities to be kept in Separate Bank Account

The Participant agrees that the money / securities deposited by the Client shall be kept in a separate bank account / settlement demat account, distinct from its own account or accounts of any other Clients, and shall not be used by the Participant for itself or for any other Clients or for any purpose other than the purposes mentioned in the SEBI Scheme, Circulars of SEBI, SLBS and Circulars issued thereunder.

5.3. Update on Settlement Process

The Participant agrees to inform and keep the Client apprised about securities lending and borrowing settlement cycles, delivery/payment schedules and any changes therein from time to time.

5.4. Compliance with Know Your Client Norms

The Participant undertakes to maintain the "Know Your Client" 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 to the AI or as required under any law / regulatory requirements or in compliance with any decree, order or direction of any Court, Tribunal, SEBI or other authority duly empowered in law; Provided however that the Participant may so disclose information about its Client to any person or authority with the express permission of the Client.

5.5. Reconciliation of Account

The Participant and the Client shall agree to reconcile their accounts regularly with reference to the transactions under the SLBS.

5.6. Return of Securities and Lending Fees

5.6.1. Where the Client is a lender unless otherwise agreed upon between the Participant and the Client -

5.6.1.1. The Participant shall ensure the return of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

5.6.1.2. The Participant shall ensure the return of the lending fees to the Client within such time as may be prescribed by the AI.

5.7. Delivery of Securities

5.7.1. Where Client is a borrower unless otherwise agreed upon between the Participant and the Client –

5.7.1.1. The Participant shall ensure the delivery of securities to the Client by transferring the same to the Client's account within such time as may be prescribed by the AI.

6. RIGHTS OF THE CLIENT

6.1. Where the Client is the lender unless otherwise agreed upon between the Participant and the Client -

6.1.1. The Client shall be entitled to receive the securities lent or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.1.2. The Client shall be entitled to receive lender's fee for the securities lent.

6.2. Where the Client is the borrower unless otherwise agreed upon between the Participant and the Client -

6.2.1. The Client shall be entitled to receive securities borrowed or financial compensation in lieu thereof, computed in such manner as may be specified by the AI from time to time.

6.2.2. The Client shall be entitled to receive from the Participant, the collateral in case the Client has deposited securities approved by the AI as collateral.

6.3. Notwithstanding any other provisions of the Master Agreement, the Client shall be entitled to have all the rights that are conferred on it from time to time under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder.

7. OBLIGATION OF THE CLIENT

7.1. Abide by Law & Acquaintance to Law

The Participant declares that it has brought the contents of the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time, and the terms and conditions of the Master Agreement to the notice of the Client and the Client agrees to comply with and adhere to the same.

7.2. Update & Comply with the Settlement Process

Notwithstanding anything contained in Clause 4.4, the Client shall at all times make its own inquiries and keep itself updated on all settlement cycles, delivery/payment schedules and changes therein, and it shall be the responsibility of the Client to comply with such schedules/procedures of the AI.

7.3. Processing Charges

The Client agrees to pay the Participant, processing charges and statutory levies prevailing from time to time or any other charges for the services provided by the Participant. The Participant agrees that it shall not charge processing charges / fees beyond the maximum limit permissible under the SEBI Scheme, Circulars of SEBI, SLBS and the Circulars issued thereunder from time to time.

7.4. Change in Client Registration Form

The Client agrees to immediately notify the Participant in writing whenever there is any change of information in the "Client Registration Form" provided by the Client to the Participant.

7.5. Authorised Representative

The Client agrees to be bound by the instructions issued by its authorised representative, if any, in accordance with the letter authorising the said representative to deal on its behalf.

7.6. Return of Securities

The Client shall return the equivalent number of securities of the same type and class borrowed by it within the time specified by the AI in the Circulars issued from time to time.

7.7. Payment of Margins

The Client agrees to pay such margins as may be specified by the Participant in accordance with the

requirement of AI or SEBI from time to time.

7.8. Exposure / Position Limits

The Client agrees to abide by the exposure / position limits, if any, set by the Participant or the AI or SEBI from time to time.

7.9. Securities lent to be Unencumbered

The Client agrees and warrants that the securities lent are free from lien, charge, pledge or any encumbrance(s) of whatsoever nature.

7.10. Collateral

At the discretion of the Participant, where the Client deposits the required collateral with the Participant, the same shall be free from any encumbrance(s) of whatsoever nature or defect in the title. If any encumbrance(s) or defect in the title is found subsequently, such collateral shall be immediately replaced by the Client.

7.11. Insolvency

The Client agrees to immediately furnish information to the Participant 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 it or if any litigation which may have material adverse bearing on its net worth has been filed against it.

7.12. Cancellation of Transactions

Notwithstanding anything contained in the Master Agreement, the AI shall be entitled to cancel transactions under the SLBS, either on an application by a Participant or suo moto or under regulatory directions, and in such event, the transactions done on behalf of the Client shall ipso facto stand cancelled, and neither the AI nor the Participant shall be liable to compensate the Client for any loss whatsoever (including opportunity loss) arising out of such cancellation.

7.13. Discontinuation of SLBS and Participation in SLBS

The AI shall be entitled to discontinue the SLBS or the participation of the Participant in the SLBS at any time at its discretion. Such discontinuation may be subject to such terms and conditions as may be specified by the AI from time to time.

8. ARBITRATION

8.1. The Participant and the Client shall co-operate with each other and / or the AI in redressing their grievances in respect of transactions under the SLBS.

8.2. All disputes and differences or questions arising out of or in relation to this agreement including obligations, failure or breach thereof by any of the parties and/or of any matter whatsoever arising out of this agreement shall in the first instance be resolved mutually by the parties. If the parties fail to resolve the same mutually, then the same shall be referred to and decided by arbitration in accordance with the procedures as prescribed by the AI under the SLBS and the Circulars issued thereunder.

9. GOVERNING LAW AND JURISDICTION

9.1. This agreement shall be governed by and construed in all respects in accordance with the laws of India.

9.2. In relation to any legal action or proceedings to which the AI is a party, the parties irrevocably submit to the exclusive jurisdiction of the courts of Mumbai, India and waive any objection to such proceedings on grounds of venue or on the grounds that the proceedings have been brought in an inconvenient forum.

9.3. In relation to any legal action or proceedings to which AI is not a party, the parties irrevocably submit to the jurisdiction of any competent court of law where the Client ordinarily resides at the time of execution of the transactions under the SLBS.

10. EFFECTIVE DATE

This agreement shall be effective as of the date first set forth above once executed by or on behalf of both parties from the date of execution and with immediate effect the Client shall be eligible to participate in the SLBS from such date the AI permits the Participant to participate in the SLBS subject to fulfillment of the terms and conditions as stipulated by the AI from time to time.

11. TERMINATION

This agreement shall forthwith terminate if the Participant for any reason ceases to be a Participant under the circumstances as prescribed by the AI. This agreement may be terminated by either party by giving prior written notice of at least one month without assigning any reason. Such termination shall, however, not affect the liabilities/obligations of either party arising out of the transactions under the SLBS entered into prior to the date of the notice of termination.

12. AMENDMENT

This agreement shall not be altered, amended and /or modified by the parties in a manner that shall be in contravention of the provisions of Clause 1 of this agreement pertaining to the Legal Framework.

13. HEADINGS

The headings of the clauses are used for the purpose of convenience only and shall not affect the construction of the clauses or this agreement.

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

The Client's Signature/
Authorized Signatory 

The Participant's Signature/
Authorized Signatory

Signed by:

Signed by:

Title:

Title:

Name of the Client:

Name of the Participant :

Witness:

Witness:

1.

1.

2.

2.

CONSENT / AUTHORIZATION TO AVAIL MARGIN TRADING FUNDING

To,

Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,
Zone-5, DTA, Gandhinagar - 382050, Gujarat
Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

- I/we am/are interested in activating my/our account for avail margin trading funding with Raghunandan Capital (P) Ltd. (RCPL). I/we hereby authorize you to activate my/our account for the above mentioned funding as per my consent.
- I/we agree and understand to the terms and conditions of Margin Trading Funding provided by RCPL. I/we do hereby agree to be bind by such provisions as outlined in these documents and act in accordance with the same while availing the margin trading funding.
- I/we hereby undertake to refer to the updated policies and procedure as posted on RCPL website and abide by the same.
- I/we confirm and agree to receive all the communication such as confirmation of orders/trades, margin calls, decisions/calls to liquidate the collateral/ positions /security on my registered email address or registered mobile number provided with RCPL send electronically by RCPL.
- I/we understand that by availing the funding to trade under Margin Trading, i/we authorize RCPL to treat all my/our trade in group I securities (further classified by RCPL), which are not covered by 100 % margin (i.e. Cash in ledger) as trades under Margin Trading Funding and accordingly I/we authorize RCPL to report all such trades to the exchange(s) on next day as Margin Trading Trades.
- I/we understand and acknowledge that RCPL would consider entire clear ledger credit balance in normal trading ledger for adjustment against the margin trading funding trades (Ledger) and would levy the interest on the net debit balance in the MTF Ledger.
- I/we understand and agree that the interest would be calculated and levied on a daily basis at the rate mutually agreed between client and RCPL from time to time

Thanking you

Yours faithfully,

Signature:  _____

Client Name : _____

Client Code : _____

**ELECTRONIC CONTRACT NOTE (ECN) DECLARATION
APPENDIX - A**

To,

Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

I, _____ a client with Member M/s. _____
 of _____ Exchange undertake as follows:

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

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

(The above lines must be reproduced in own handwriting of the client.)

Client Name			
Unique Client Code			
PAN			
Address			
Signature of the Client			
Date		Place	
Verification of the client signature done by, Name of the designated officer of the Member			
Signature		Date	

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

To,
Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

I, _____ s/o., w/o., d/o _____

_____, refer to my Trading and Demat Account _____

with Raghunandan Capital Pvt. Ltd. (RCPL) do hereby affirm, declare and undertake that

1. That my name as it appears on my trading account is _____
2. That my name as it appears on my demat account is _____
3. That my name as it appears on the Income Tax website is _____
4. That my name as it appears on the Address proof is _____
5. That my name as it appears on my Pan Card is _____
6. That my name as it appears on the Bank Proof is _____
7. That my name as it appears on my Aadhaar Card is _____
8. That above mentioned names, on Trading account, Demat account, Income Tax website, Address proof, Aadhaar, PAN Card No. _____ and Bank account bearing no. _____ are mine alone.
9. That I hereby request RCPL to maintain my name in Demat and trading account as per the name appearing on the income tax website/ PAN Card.
10. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. RCPL may, at its sole discretions, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
11. That I further undertake to open a bank account in accordance with the name as appearing on the income tax website within a week from the date of signing this undertaking.
12. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to RCPL.
13. That I further declare that I am responsible and I shall indemnify & keep indemnified RCPL, its directors, officers, employees, agents from and against any all losses, claims liabilities, obligations, damages, deficiencies, judgments, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cum-undertaking and/or acting on this basis.

That the contents of this declaration, indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That the declaration, indemnity-cum-undertaking given by me to RCPL is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.

Client Signature :  _____

Client Name : _____

Raghunandan Capital Pvt. Ltd.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-213-2016

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCSL (53E), Road 5C, Block 53, Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Terms & Conditions-Cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

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

Fees, Charges and deposits

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phone number.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

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

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

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

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

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, changes and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

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

Governing Law and Jurisdiction:

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

DP ID	12069700
BO Id	
Sole/First Holder's Name	
Second Holder's Name	
Third Holder's Name	
Mobile No. on which messages are to be sent (Please write only the mobile number without prefixing country code or zero)	
The Mobile Number is registered in the name of	
(Please write only ONE valid Email Id on which communication; if any, is to be sent)	



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s).**

Place : Agra

Date : ____/____/20____

DEMAT DEBIT & PLEDGE INSTRUCTIONS (DDPI) For Operating Beneficiary Account

I/We have been /shall be dealing through you as my/our broker on various Stock exchanges(s) such as NSE/BSE/MSEI/MCX/NCDEX and as my/our Depository Participant (DP) with respect to my /our Trading Account opened /to be opened under captioned Unique Client code (UCC) and Demat /beneficial owner (BO) account opened /to be opened & mapped with my/out said Trading account. I/We authorize you to follow these instructions across exchanges & across segments in which I/We have already opened accounts with you, or I/We may open account in future. As my/our Broker i.e agent & or DP. I/We direct and authorize you to carry out dealings on my/our behalf as per instructions given below:

For my/our convenience & in order to facilitate the proper execution of all transactions by me/us in pursuant to agreement(s)

Entered /to be entered with M/S Raghunandan Capital Pvt. Ltd. I/We hereby agree & authorize RCPL to operate my/our Demat /BO account (s) Opened /to be opened and mapped with MY/OUR AFORESAID Trading account to transfer/pledge/re-pledge/de-pledge securities from my/our BO account(s) only RCPL BO account and /or Exchange(s) related pool and Margin Account of RCPL specified here in below.

Exchange	Depository	CMBP ID	DP ID	Account No.	Account Type
NSE	NSDL	IN515899	IN300966	10512432	Pool Account
NSE	CDSL	NA	12069700	00120071	Pool Account
NSE	CDSL	NA	11000011	00021005	NSE Early Pay-in A/c
BSE	NSDL	IN661124	IN300966	10536142	Pool Account
BSE	CDSL	NA	12069700	00000056	Pool Account
BSE	CDSL	NA	11000010	00021197	BSE Early Pay-in A/c
NSE	CDSL	NA	11000023	00001513	NSE SLBM A/C

Depository	TM/CM-Client Securities Margin Pledge Account	DP ID	Account No.
ALL SEGMENT			
CDSL	TM/CM-Client Securities Margin Pledge Account	12069700	00119640
CDSL	TM/CM-Client Securities Margin Pledge Account	12069700	00190676

Further, please note that while I /We am/are entitled to the revoke this DDPI authorization at any time, by sending signed physical letter of revocation, through Regd/Speed post at your abovementioned address. I/We agree that till the time my/our revocation request will be processed and updated in your records, RCPL will continue to be authorized to transfer/pledge/re-pledge/de-pledge securities under this DDPI authorization against my/our obligations, if any, in my/our captioned trading /demat account.

I/We shall be liable for all the loses, damages and actions which my arises a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim what so ever, or for any consequential, incidental, special or exemplary damages, caused by transfer/pledge/re-pledge/de-pledge of securities under this DDPI authorization FOR THE FOLLOWING PURPOSES.

Purpose 1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	
Purpose 2	Pledging / re-pledging of securities in favour of M/s Raghunandan Capital Pvt. Ltd. as a Trading Member (TM) / Clearing Member (CM) for the purpose of meeting margin requirement of the clients in connection with the trades executed by the clients on the Stock Exchange.	
Purpose 3	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	
Purpose 4	Tendering shares in open offers through Stock Exchange platforms.	



 Signature of Sole/First Holder

 Signature of Second Holder

 Signature of Third Holder

Signature of Co-parceners in case of HUF Account

S.No.	Name of Co-parceners	Date of Birth	Signature of Co-parceners

Raghunandan Capital Pvt. Ltd.
(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-213-2016

 Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,
 Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Schedule for DP Service charges for normal Demat A/c w.e.f. 15th June 2021
SCHEDULE - A

S. No.	PARTICULAR	☐ SCHEME - A (R-MONEY RELAX)	☐ SCHEME - B (R-MONEY ULTRA SAVING)
1.	Account Maintenance Charges	Rs. 299/- per annum Charged Quarterly	Rs. 599/- for first 3 Years*
2.	Dematerialisation Charges	Rs. 50/- Per DRF plus (Courier Charges as applicable) Rs. 5/- per Certificate	Rs. 50/- Per DRF plus (Courier Charges as applicable) Rs. 5/- per Certificate
3.	Rematerialisation Charges	Rs. 50/- Per RRF plus Rs. 5/- per Certificate and Courier charges as applicable	Rs. 50/- Per RRF plus Rs. 5/- per Certificate and Courier charges as applicable
4.	Intra DP charges per Instruction	Rs. 20/- or .01% of the transaction value whichever is higher	Rs. 20/- or .01% of the transaction value whichever is higher
5.	Inter DP charges per Instruction	Rs. 20/- or .02% of the transaction value whichever is higher	Rs. 20/- or .02% of the transaction value whichever is higher
6.	Pledge charges (per Transaction) Creation Invocation / Closure / Acceptance	.02% of the transaction value or Rs. 50/- whichever is higher	.02% of the transaction value or Rs. 50/- whichever is higher
7.	Margin Pledge and Unpledge charges	Rs. 20/- per ISIN	Rs. 20/- per ISIN

In addition to the above the following out of pocket expenses shall also be charged.

1. Instruction Booklet : Rs. 50/- Containing 5 Leaves plus courier charges.
2. Failed Instruction Intimation : Rs. 30/- per intimation per instruction.
3. Additional Statement of Holding/Transaction : Rs. 25/- or Rs. 2/- per Page whichever is higher + Postage
4. Non periodic statement & other communications shall be charged @ Rs. 25/- or Rs. 2/- per page whichever is higher.
5. Charges are subject to revision at Depository Participant's sole discretion by giving 30 days notice.
6. In case of demat rejection postage charges as per actual for dispatch to the client for removal of objection.
7. Any other services not specified above shall be charged extra.
8. GST will be charged extra as per regulation.
9. Any Modification in client master will be charged @ Rs. 30/- per modification.
10. All the charges are payable on monthly basis under scheme A and under all other schemes all charges are payable upfront.
11. Raghunandan Capital Pvt. Ltd. may suspend/freeze the depository services of the account holder on non payment of outstanding bill till the outstanding DP service Charges is received.
12. For Corporate A/c's additional Rs. 999/- in scheme A and Rs. 1999/- for Scheme B will be charged per annum towards CDSL AMC.
13. In case of BSDA account AMC will be charged as applicable for BSDA account (If holding value is less than Rs 4,00,000; Nil-AMC, If holding value between Rs 4,00,000 to Rs 10,00,000; AMC will be charged at Rs 100 per annum and above Rs. 10,00,000 AMC will be charged as per tariff (regular account)). All other charges shall be as per scheme opted by the client.
14. Account maintenance charges of Rs. 299/- per annum after completion of first three year will be charged for Scheme B.
15. Non payment of DP charges attract interest @ 13% PA and discontinuation of DP services till payment cleared.

Note : Rs. 100/- POA stamp paper charges are included with upfront charges in all schemes.



Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

FATCA & CRS Declaration - Individual

To,

Raghunandan Capital (P) Ltd.

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Account Code : _____

Demat ID : _____

Name : _____

PAN : _____

Do you have any non-indian Country(ies) of Birth / Citizenship / Nationality and Tax Residency? ☐ Yes ☐ No

Sole/First Holder/Guardian ☐ Yes ☐ No		Second Holder ☐ Yes ☐ No		Third Holder ☐ Yes ☐ No	
Country of Birth		Country of Birth		Country of Birth	
Country of Citizenship/ Nationality		Country of Citizenship/ Nationality		Country of Citizenship/ Nationality	
Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id	Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id	Are you a US Specified Person?	☐ Yes ☐ No Please provide Tax Payer Id
Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.	Country of Tax Residency* (Other then India)	Taxpayer Identification No.
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

FATCA - CRS Terms & Conditions

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Raghunandan Capital Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

First / Sole Holder Signature	Second Joint Holder Signature	Third Joint Holder Signature
		

FATCA & CRS TERMS & CONDITIONS - FOR INDIVIDUAL

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the folio(s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	- Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; - Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below); AND - Any one of the following documents: - Certified Copy of "Certificate of Loss of Nationality or - Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	- Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and - Documentary evidence (refer list below)
Telephone number in a country other than India	If no Indian telephone number is provided - Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and - Documentary evidence (refer list below) If Indian telephone number is provided along with a foreign country telephone number - Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR - Documentary evidence (refer list below)
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	- Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and - Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body*
- Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)

* Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

FATCA & CRS Declaration - Non Individual

Name		Trading Code	
DP Code		PAN	
Please tick the applicable tax resident declaration			
Is "Entity" a tax resident of any country other than India		☐ Yes ☐ No	
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)			

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.
 In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1.	We are a, Financial institution (Refer 1 of Part C) or ☐	GIIN	
	Direct reporting NFE (Refer 3(vii) of Part C) (please tick as appropriate) ☐	Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below	
		Name of sponsoring entity	
	GIIN not available (please tick as applicable)	☐ Applied for ☐ Not obtained - Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category ☐ (Refer 1 A of Part C)	

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes ☐ (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange_____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company_____ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange_____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes ☐ Nature of Business_____ Please specify the sub-category of Active NFE O (Mention code - refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes ☐ Nature of Business_____

**UBO Declaration (Mandatory for all entities except,
a Publicly Traded Company or a related entity of Publicly Traded Company)**
Category (Please tick applicable category):

Unlisted Company	Partnership Firm	Limited Liability Partnership Company	Unincorporated association / body of individuals
Public Charitable Trust	Religious Trust	Private Trust	Others (please specify) _____

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

Details		UBO1	UBO2	UBO3
Name of UBO				
UBO Code (Refer 3(iv) (A) of Part C)				
Country of Tax residency*				
PAN #				
Address	ZIP			
	State			
	Country			
Address Type		☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office	☐ Residence ☐ Business ☐ Registered Office
Tax ID %				
Tax ID Type				
City of Birth				
Country of birth				
Occupation Type		☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality				
Father's Name				
Gender		☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth				
Percentage of Holding (%) \$				

* To include US, where controlling person is a US citizen or green card holder

If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

% In case Tax Identification Number is not available, kindly provide functional equivalent

\$ Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

DECLARATION

I/We have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FACTA & CRS instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/we hereby agree and confirm to inform Raghunandan Capital Pvt. Ltd. for any modification to this information promptly.

I/We further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name	
Designation	



 Client Signature

 Date

 Place

For Investor convenience, Raghunandan Capital Pvt. Ltd. collecting this mandatory information for updating across all Group Companies of Raghunandan Capital Pvt. Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Raghunandan Capital Pvt. Ltd. branch or you can dispatch the hard copy to-

Raghunandan Capital Pvt. Ltd.

26/257B, Near Ashish Palace, Sultan Ganj, Agra-282004

• For Detail Terms & Conditions please visit www.rmoneyindia.com

DECLARATION BY SALES PERSON / AUTHORISED PERSON

To,
Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,
 Zone-5, DTA, Gandhinagar - 382050, Gujarat
 Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir,

This is in reference to the trading & Demat account under consideration in the name of _____

R/o _____

I declare that I have met the above captioned person personally & have verified copy of under mentioned KYC with original, which is enclosed with account opening form & I also certify that client has signed and executed the form, stamp papers with enclosures in my presence.

The following KYC documents are checked and verified from the original documents :

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

Date of verification of documents :

The above statement is true and correct and made under my own free mind without any coercion, misrepresentation or fraud.



 Name of the person

 Signature

 Employee / Authorised person

FACT SHEET

AUTHORISED PERSON CLIENT DETAILS		
Name	Code	Signature

CLIENT MAPPING DETAILS	
Name of Sales Executive	Mapping Code of Sales Executive

ACKNOWLEDGEMENT LETTER

To,
Raghunandan Capital (P) Ltd.

Dated _____

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

Dear Sir/ Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories.
6. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.
7. Tariff Sheet
8. Investor Charter
9. MITC

Yours faithfully,

First / Sole Holder Signature	Second Joint Holder Signature	Third Joint Holder Signature
		

Raghunandan Capital Pvt. Ltd.

(Depository Participant - CDSL) DPID : 12069700, DP SEBI Regn. No. IN-DP-213-2016

Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCCSL (53E), Road 5C, Block 53,

Zone-5, DTA, Gandhinagar - 382050, Gujarat

Corp. Office : 26/257B, Sultanganj, Near Ashish Palace, Agra-282004

ACKNOWLEDGEMENT RECEIPT

We hereby acknowledge the receipt of the Account opening application form

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

 (Depository Participant Seal and Signature)

OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID	1	2	0	6	9	7	0	0	Client ID							
First Holder Name																
Second Holder Name																
Third Holder Name																

To,

Raghunandan Capital (P) Ltd.
 Regd. Office : Unit No. 601 to 602A, 6th Floor, DSCSL (53E), Road 5C, Block 53,
 Zone-5, DTA, Gandhinagar - 382050, Gujarat

Dear Sir / Madam,

I / We hereby state that :

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

☐ **OPTION 1 :**

[Select one of the options given below]

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening of my / our CDSL account though I / we have issued a Power of Attorney (POA) / registered for E-DIS / Opted for DDPI / executed PMS agreement in favor of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through E-DIS.

OR☐ **OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/Registered for E-DIS / Opted for DDPI / executed PMS agreement in favor of / with Raghunandan Capital Pvt Ltd for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member / by PMS manager or for executing delivery instructions through E-DIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

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

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET :

DP ID	1	2	0	6	9	7	0	0	Client ID							
Name of the Sole/First Holder																
Name of the Second Holder																
Name of the Third Holder																

(Depository Participant Seal and Signature)

**NACH/ECS/AUTO DEBIT
MANDATE INSTRUCTION FORM**

For Office Use

UMRN

Date

Tick (✓)

CREATE

MODIFY

CANCEL

Sponsor Bank Code

Utility Code

I/We hereby authorize to debit (tick ✓)

Bank a/c number

with Bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presented

DEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1 (Mandate Reference No.) Phone No.

Reference 2 (Unique Client Code-UCC) Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or ☐ Until Cancelled

1. 2. 3.

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity / Corporate to debit my account, based on the instructions as agreed and signed by me.

- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

**NACH/ECS/AUTO DEBIT
MANDATE INSTRUCTION FORM**

For Bank Use

UMRN

Date

Tick (✓)

CREATE

MODIFY

CANCEL

Sponsor Bank Code

Utility Code

I/We hereby authorize to debit (tick ✓)

Bank a/c number

with Bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☒ As & when presented

DEBIT TYPE ☐ Fixed Amount ☒ Maximum Amount

Reference 1 (Mandate Reference No.) Phone No.

Reference 2 (Unique Client Code-UCC) Email ID

I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank.

PERIOD

From

To

Or ☐ Until Cancelled

1. 2. 3.

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity / Corporate to debit my account, based on the instructions as agreed and signed by me.

- I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.





*Your way to happiness
through our wide range of offerings*



Equity



Insurance



Bonds



Commodities



IPO



Postal Savings Scheme



Derivatives



Advisory



E-insurance Account



Currency



PAN Services



NPS



Mutual Funds



Depository Services



Corporate FDRs

RAGHUNANDAN CAPITAL (P) LTD

Member: NSE, BSE, MCX & NCDEX

SEBI Regn. No.: INZ000307234

Depository participant: CDSL

SEBI Regn. No.: IN-DP-213-2016, DP ID: 12069700

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