



# RIKHAV SECURITIES LTD

— Growth, Returns and Security —

## Account Opening Form

Individual / Non-Individual / HUF

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

Client DP ID : \_\_\_\_\_

DP Int. Ref. No. : \_\_\_\_\_

Branch Name & Code : \_\_\_\_\_

Name of Relationship Manager : \_\_\_\_\_

Sub-Broker/Remiser/AP : \_\_\_\_\_

Sub-Broker/Remiser/AP Code : \_\_\_\_\_

DEALER : \_\_\_\_\_

Family : \_\_\_\_\_

**Regd. Office Address :**

Office No. 922-A, 9th Floor, P. J. Towers, Dalal Street, Mumbai - 400 001.

**Admin Office Address :**

B 501/ 502, 5th Floor, O2 Commercial Bldg., Near Minerva Indl. Estate, Mulund West, Mumbai-400080

**Processing Office Address :**

Shop No.34,House No.7/E-5.,Somnath Commercial Centre,.,Somnath Junction Dabhel,.,Daman - 396210

## INDEX

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4.	<p>a. Rights and Obligations as prescribed by SEBI and Stock Exchanges.                      b. Risk Disclosure document for Capital Market &amp; Derivative Segments.                      c. Policies and procedures.                      d. Rights and Obligations of Beneficial owner and Depository Participant as prescribed by SEBI and Depositories.                      e. Rights and Obligations of the Clearing Member/ Participants and it's client in Relation to the Securities Lending and Borrowing Scheme.                      f. Risk Disclosure document (Commodity).                      g. Rights and obligations of Members, AP's and Clients as prescribed by SEBI &amp; Commodity Exchanges.                      h. GUIDANCE NOTE - Do's and Don'ts for trading on the exchange(s) for Investors.</p> <p>Note - Please refer below website for above documents</p> <div style="text-align: center; border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> <a href="http://www.rikhav.net/download.html">www.rikhav.net/download.html</a> </div>		
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### KRA Registration Details (For Office Purpose)

If Client is already registered with KRA please fill in below details :

CVL       Other KRAs (Please select appropriate option)

Remark : \_\_\_\_\_

## Details of Trading and Clearing Member

Name of stock broker : RIKHAV SECURITIES LTD.  
Registered Office : 922-A, 9th Floor, P. J. Towers, Dalal Street, Mumbai – 400 001.  
Admin./  
Correspondence Office : B 501/ 502, 5th Floor, O2 Commercial Bldg., Near Minerva Indl. Estate,  
Mulund West, Mumbai-400080, Tel : 022-69078300/ 200  
  
Processing Office : Shop No.34,House No.7/E-5.,Somnath Commercial Centre,.  
Somnath Junction Dabhel,.Daman - 396210

Website : ..... www.rikhav.net

**NAME OF TRADING MEMBER :- RIKHAV SECURITIES LIMITED**

**NAME OF CLEARING MEMBER :- RIKHAV SECURITIES LIMITED**

CASH SEGMENT :- NSE,BSE - RIKHAV SECURITIES LIMITED SEBI Registraton no.INZ000157737

DERIVATIVES :- NSE: F&O: RIKHAV SECURITIES LIMITED SEBI Registraton no.INZ000157737

NSE : CDS :- RIKHAV SECURITIES LIMITED SEBI Registraton no.INZ000157737

BSE : F&O: COMMODITY : RIKHAV SECURITIES LIMITED SEBI Registraton no.INZ000157737

CDS : RIKHAV SECURITIES LIMITED SEBI Registraton no.INZ000157737

	DP	BSE/NSE	MCX-SX
Compliance officer name :	Vishal G. Patel	Rajendra N. Shah	Vishal Patel
Phone no.:	022-6907 8332	022-6907 8345	022-6907 8331
Email id :	vishal@rikhav.net	rajendra@rikhav.net	vishal@rikhav.net
CEO name :	Mr. Hitesh H. Lakhani		
Phone.:	022-6907 8362		
Email id:	hitesh@rikhav.net		

For any grievance/dispute please contact **RIKHAV SECURITIES LTD.** at the above address or info@rikhav.net and phone no. +91-22-6907 7352 In case not satisfied with the response, please contact the concerned exchange(s) at their Address details given below.

### For complaints/grievances of demat accountholders related to services of DPs/Depository :-

Contact No : Toll free: 1800-22-5533  
Working Days : Monday through Friday  
Working Hours : 10:00 A.M. to 6:00 P.M.  
Email ID : complaints@cdslindia.com

#### **BSE Limited**

BSE Investor Service Centre  
Cama Building, 1st floor,  
Dalal Street,  
Fort, Mumbai – 400001.  
Tele. No.: 022-22728571 / 22728271 /  
9920260239  
Contact Person: Mr. Mahesh Ghadi

### National Stock Exchange of India Ltd.

MUMBAI  
Western Regional Office:  
National Stock Exchange of India Ltd.,  
6th floor, Kohinoor City, Tower – 1,  
Commercial – II, Kiroli Road, Off. L. B.  
S. Marg, Kurla (W),

### Multi Commodity Exchange of India Limited

Membership & Compliance Department  
Exchange Square, Suren Road, Andheri (East),  
Mumbai – 400093,  
[grievance@mcxindia.com](mailto:grievance@mcxindia.com)  
022-6731 8888

#### **PRO Trading Disclosure**

Pursuant to SEBI circular no. SEBI / MRD / SE<sub>1</sub> / CIR.- 42 / 2003 dated November 19. 2003,  
We hereby disclose that we do client based business as well as undertake proprietary trading.



## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 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/PIOCard/OCICard 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving license.
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.

**Annexure A1**

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



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 D & E at the end)

Addition of Related Person     Deletion of Related Person     Updation    KYC Number of Related Person (if available\*)   

Related Person Type\*     Guardian of Minor     Assignee     Authorized Representative

Name\*    Prefix    First Name    Middle Name    Last Name

(If KYC number and name are provided, below details are optional)

Maiden Name               

Father / Spouse Name               

Mother Name               

Date of Birth\*      -   -

Gender\*     M- Male     F- Female     T-Transgender

PAN\*         Form 60 furnished

**2. PROOF OF IDENTITY AND ADDRESS\***

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



**Address**

Line 1\*   

Line 2   

Line 3        City / Town / Village\*   

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

**3. CURRENT ADDRESS DETAILS** (Please refer instruction B 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 Proof of Address - Document Type code
- 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\*

**4. CONTACT DETAILS**

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

Email ID

**5. REMARKS (If any)**

**6. APPLICANT DECLARATION**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :   -   -     Place:

**Signature /Thumb Impression of Applicant**

**7. 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  Video Based KYC

**KYC VERIFICATION CARRIED OUT BY**

Date  -  -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]

**TRADING ACCOUNT RELATED DETAILS****For Individuals & Non-individuals****A. Bank Account Details** (First Bank A/c. is default Bank A/c., through which transaction will generally be routed)

Bank Name	Address	Type of A/c.	A/c. No.	MICR Code	IFSC Code

**B. Depository Account(s) Details** (First Depository A/c. is default Depository A/c)

Depository Participant details of the Client (In order of presence)													
Depository Name	DP Name	DP ID						Beneficiary A/C. No.				First / Joint Holder	

**C. Trading Preferences**

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client

Exchanges	BSE & NSE			
Segments	Cash	F&O	Currency	SLB
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Exchanges	BSE & MCX
Segments	Commodity derivatives
	<input checked="" type="checkbox"/>

If you do not wish to trade in any segment/mutual fund, please mention here \_\_\_\_\_

If in future, the client wants to trade on any new segment / new exchange / separate authorization / letter should be taken from the client by the stock broker.

**D. Past Action**

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.  
(If yes Please give details) : \_\_\_\_\_

Signature of client  \_\_\_\_\_

### E. Dealing 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 : \_\_\_\_\_  
 \_\_\_\_\_  
 Ph. No. \_\_\_\_\_ Fax No. \_\_\_\_\_ Website:www. \_\_\_\_\_

- Whether dealing with any other stock broker/sub-broker(if 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: .....

### F. Additional Details

- Whether you wish to receive  physical contract note or  Electronic Contract Note(ECN)  
 Specify your Email id, if ECN: \_\_\_\_\_
- Whether you wish to avail of the facility of Internet Trading / wireless technology  Yes  No
- Number of years of Investment / Trading Experience \_\_\_\_\_

**Other Details** (please see guidelines overleaf)

**Gross Annual Income Details** (Please tick (3) :  Below 1 Lac  1- 5 Lac  5- 10 Lac  10- 25 Lac  
 25 Lac - 1 Crore  > 1 Crore

**Net worth in** \_\_\_\_\_ (\*Net worth should not be older than 1 year) **as on (date)**

**Occupation** (Please tick (3) any one and give brief details):  d d  m m  y y y y

- Private Sector Service  Public Sector  Government Service  Business  Professionals  Agriculturist
- Retired  Housewife  Student  Forex Dealer  Other (Please Specify)

**Please tick, if applicable** :  Politically Exposed Person  Related to a Politically Exposed Person  
 NA

For definition of PEP, please refer guideline overleaf

**Any other Information :**

### G. Introducer Details :

Name of Introducer :- \_\_\_\_\_ (Surname) 11 \_\_\_\_\_ (Name) \_\_\_\_\_ (Middle Name)

Address of the Introducer :-  
 \_\_\_\_\_  
 \_\_\_\_\_

Status of the Introducer :  Sub Broker  Remisier  Authorized Person  Existing Client

Others, Please Specify

Phone No.: \_\_\_\_\_ Signature of Introducer (I) : \_\_\_\_\_

Signature of client  \_\_\_\_\_

## 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's designated website, if any.

**Client Signature**

## Acknowledgement

To,  
Rikhav Securities Ltd

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents

1. Duly Executed Copy of KYC
2. Rights and Obligations
3. Risk Disclosure Document (RDD) for Capital, Derivatives and Currencies Segments
4. Guidance Note - Do's and Dont's for trading on the Exchange(s) for Investors
5. Rikhav Securities Tariff Sheet
6. Policies and Procedures Document Pursuant to the SEBI circular dated December 03, 2009
7. General Terms & Conditions governing securities trading and broking services of Rikhav
8. Running account authorization, Mobile Declaration & Client Defaulter Declaration

Note - Please refer below website for above documents

[www.rikhav.net/download.html](http://www.rikhav.net/download.html)

I also confirm that I have received clarifications, if any, wherever required from the officials of Rikhav Securities Ltd

Yours faithfully,

Place: \_\_\_\_\_ Client Name \_\_\_\_\_

Date : \_\_\_\_\_ Client Signature \_\_\_\_\_

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification 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.

**For Rikhav Securities Ltd.**

Director / Authorised Signatory

Seal/Stamp of the Stock Broker

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

**INSTRUCTIONS/ CHECK LIST**

**1. 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 stock broker need to be provided by the client from time to time.

2. 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.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. **For individuals:**
  - a. 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.
  - b. 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.
5. **For non-individuals:**
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others with their specimen signatures.

**Additional KYC Form for Opening a Demat Account  
For Individual & Non Individual**

Application No.		Date																			
DP Internal Reference No.																					
<b>DP ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>5</b>	<b>1</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>Client ID</b>												
(To be filled by the applicant in <b>BLOCK LETTERS</b> in English)																					
I / We request you to open a Demat Account in my / our name as per the following details: -																					
Sole / First Holder's Name											PAN										
											UID										
											UCC										
Second Holder's Name											PAN										
											UID										
											UCC										
Third Holder's Name											PAN										
											UID										
											UCC										
<b>(Search Name : (In Case of Non Individual))</b>																					
<b>Name *</b> _____																					
* 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.																					
<b>Type of Account (Please tick whichever is applicable)</b>																					
<b>Status</b>		<b>Sub – Status</b>																			
<input type="checkbox"/> Individual		<input type="checkbox"/> Individual Resident						<input type="checkbox"/> Individual-Director													
		<input type="checkbox"/> Individual Director's Relative						<input type="checkbox"/> Individual HUF / AOP													
		<input type="checkbox"/> Individual Promoter						<input type="checkbox"/> Minor													
		<input type="checkbox"/> Individual Margin Trading A/C (MANTRA)						<input type="checkbox"/> Others (specify) _____													
<input type="checkbox"/> NRI		<input type="checkbox"/> NRI Repatriable						<input type="checkbox"/> NRI Non-Repatriable													
		<input type="checkbox"/> NRI Repatriable Promoter						<input type="checkbox"/> NRI Non-Repatriable Promoter													
		<input type="checkbox"/> NRI – Depository Receipts						<input type="checkbox"/> Others (specify)													
<input type="checkbox"/> Foreign National		<input type="checkbox"/> Foreign National						<input type="checkbox"/> Foreign National - Depository Receipts						<input type="checkbox"/> Others (specify)							
<b>Type of Account</b> (Please tick whichever is applicable)																					
<b>Status</b>															<b>Sub – Status</b>						
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII															<b>To be filled by the DP</b>						
<input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____																					
SEBI Registration No. (If Applicable)										SEBI Registration date		D	D	M	M	Y	Y	Y	Y		
RBI Registration No. (If Applicable)										RBI Approval date		D	D	M	M	Y	Y	Y	Y		
Nationality					<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____																
<b>Details of Guardian (in case the account holder is minor)</b>																					
Guardian's Name										PAN											
Relationship with the applicant																					
<b>Other Details :</b>																					
<b>Gross Annual Income Details</b> (Please tick (3) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1- 5 Lac <input type="checkbox"/> 5- 10 Lac <input type="checkbox"/> 10- 25 Lac <input type="checkbox"/> 25 Lac - 1 Crore <input type="checkbox"/> > 1 Crore																					
<b>Net worth in</b> _____ (*Net worth should not be older than 1 year) <b>as on (date)</b>																					
<b>Occupation</b> (Please tick (3) any one and give brief details): <input type="checkbox"/> d <input type="checkbox"/> d <input type="checkbox"/> m <input type="checkbox"/> m <input type="checkbox"/> y <input type="checkbox"/> y <input type="checkbox"/> y <input type="checkbox"/> y																					
<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professionals <input type="checkbox"/> Agriculturist																					
<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other (Please Specify)																					
<b>Please tick, if applicable :</b> <input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person																					
<b>Any other Information :</b>																					
Signature of client  _____																					

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] <input type="checkbox"/> Yes <input type="checkbox"/> 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')		<input type="checkbox"/> Yes <input type="checkbox"/> No							
I / We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No							
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulations <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly								
I / We request you to send Electronic Transaction -cum-Holding Statement at Email ID _____			<input type="checkbox"/> Yes <input type="checkbox"/> No						
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.			<input type="checkbox"/> Yes <input type="checkbox"/> No						
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)									
<b>Clearing Member Details (To be filled by CMs only)</b>									
Name of Stock Exchange									
Name of CC / CH									
Clearing Member Id		Trading member ID							
<b>Bank Details [Dividend Bank Details]</b>									
Bank Code (9 digit MICR code)									
IFS Code (11 Character)									
Account number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify)								
Bank Name									
Branch Name									
Bank Branch Address									
City	State	Country	PIN						
(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (ii) Photocopy of the Bank Statement having name address of the BO (or) (iii) Photocopy of the Passbook having name and address of the BO,(or) (iv) Letter from the Bank. In case of options(ii),(iii),(iv) above, MICR code of the branch should be present/mentioned on the document.									
<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - A</b>	MOBILE NO. +91 _____ [[Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option								
Transactions Using Secured Texting Facility ( <b>TRUST</b> ). Refer to Terms and Conditions <b>Annexure – B</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST								
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name/ ID	Clearing Member Name	Clearing Member ID (Optional)					
Stock Exchange Name/ ID	Clearing Member Name	Clearing Member ID (Optional)							
<b>easi</b>	To register for <b>easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.								
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. I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the 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 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.									
Signatures _____									
(Signature should be preferably in black ink) (In case of more authorised signatories, please add annexure)									



I / We hereby nominate the following person(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 (%)	Relationship	Postal Address	Mobile Number & E-mail	Identity Number	D.O.B. of Nominee	Guardian
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

- 1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (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. \_\_\_\_\_. **(Optional)**

(strike off portions that are not relevant)

- 3) This nomination shall supersede any prior nomination made by me / us, if any.  
 4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)

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

### **Annexure-B**

### **Declaration for opting-out of nomination**

<b>Date:</b>	<b>UCC</b>		
	<b>DP ID ( CDSL)</b>	<b>Client ID</b>	

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

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

## **Annexure - A**

### **Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL**

**[SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well.]**

#### **Definitions:**

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

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. Towers, 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 services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
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 the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
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 service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
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](mailto: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 with out proper authorization, the BO should immediately inform the DP in writing.

#### **Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments there to 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.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID 

1	2	0	5	1	5	0	0		0	0							
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--	--

  
(Please write your 8 digit DP ID) (Please write your 8 digit Client ID)

Sole / First Holder’s Name : \_\_\_\_\_

Second Holder’s Name : \_\_\_\_\_

Third Holder’s Name : \_\_\_\_\_

Mobile Number on which messages are to be sent : 

+91																		
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

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

The mobile number is registered in the name of: \_\_\_\_\_

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

\_\_\_\_\_  \_\_\_\_\_  \_\_\_\_\_  
 Signatures Sole / First Holder Second holder Third holder  
 Place: \_\_\_\_\_ Date: \_\_\_\_\_

## Tariff Structure for Beneficial Owner

Account Opening Charges	NIL
Documentation Charges	Stamp Duty Charges-Actual & KRA Charges
Annual Account Maintenance Charges	
Lifetime AMC	Rs.15000
Individuals	Rs.1500
Corporates	Rs.3000
BSDA AMC Charges	
- '0' to Up to Rs. 4 lakhs' - NIL /0/Zero - More than Rs. 4 lakhs but up to ` 10 lakhs – Rs. 100/- (Rs. 100/one Hundred /Hundred - More than Rs. 10 lakhs Normal slab applicable as per normal charges.	
Transaction Charges	
ON MARKET	Rs. 100/-
OFF MARKET	Rs. 100/- or 0.04% of market value, Whichever is higher
FAILED INSTRUCTION CHARGES	Rs. 100/-
DEMAT CHARGES	Rs. 200/- Per Certificate
REMAT CHARGES	Rs. 200/-
PLEDGE CREATION / INVOCATION / CLOSURE	Rs. 200/-
ADDL STATEMENT CHARGES	Rs. 50/-
COURIER CHARGES (for Demat)	Rs. 100/-

### NOTE :

- The above tariff is subject to changes made by **RIKHAV SECURITIES LTD.** from time to time by giving one month notice.
- Account Maintenance charges will be charged at the beginning of financial year.
- Service Tax & other levies would be extra as applicable.
- Same day execution/late instructions will be accepted on "BEST EFFORT BASIS" at the sole risk and responsibility of the depository account holder(s). The DP will not be held responsible for non-execution of same day instructions.
- Please note that in case we are unable to recover charges, depository services for your account will be "FROZEN". Any request to resume the services will be charged.
- I/We hereby authorise you to debit my/our trading account code \_\_\_\_\_ maintained with **RIKHAV SECURITIES LTD.** for the debit charges payable to **RIKHAV SECURITIES LTD.** as a Depository Participant for providing depository services. Any such sum debited to my / our account shall be binding on me/us.
- Maximum AMC of Rs.15000/- could be levied for Demat account with 30 days notice.



16. First / Sole Holder



Second Joint Holder



Third Joint Holder

**RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES**

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

1. I am / We are regularly Trading with you in various segments / exchanges and I /we hereby authorized you to do following on my /our behalf:
2. I/ We hereby give my / our consent to maintain my/ our account for fund and securities as RUNNING ACCOUNT The Securities lying in my/our withhold A/c and credit balance lying in my / our account should be considered as margin deposits
3. The actual settlement of funds & Securities shall be done by you as under. You will send statement of Funds & Securities and I/We shall bring any discrepancy to your notice within 7 working days from the receipt of Statements
4. You shall transfer the Funds / securities lying in my / our credit within one working day of the request if the same are lying with you & within 3 working days from the request, if the same are lying with the clearing member / clearing corporation
5. I/We have noted the following :-
  - A. This running account authorization will continue until it is revoked by me.
  - B. The authorization shall be signed by me /us only and not by any power of attorney holder or by any authorized person
  - C. I/we may revoke the authorization at any time by giving written notice.
  - D. Settlement Periodicity : 

Monthly	<input type="checkbox"/>	Quarterly	<input type="checkbox"/>
---------	--------------------------	-----------	--------------------------

Yours faithfully,

Signature of Client ~~24~~. \_\_\_\_\_

Name of the client \_\_\_\_\_

Client Code :- \_\_\_\_\_

# RIKHAV SECURITIES LIMITED

VOLUNTARY

## Regd. Office Address :

Office No. 922-A, 9th Floor, P. J. Towers, Dalal Street, Mumbai - 400 001.

## Admin Office Address :

B 501/ 502, 5th Floor, O2 Commercial Bldg., Near Minerva Indl. Estate, Mulund West, Mumbai-400080

## Designated Rikhav Securities Ltd. Demat Account Nos.

Sr.No.	Demat No.	Purpose
1	1205150000027467	BSE - PRINCIPAL
2	1205150000027486	BSE - POOL
3	1205150000007799	NSE - POOL
4	1100001000015926	BSE - EARLY PAYIN
5	1100001100017666	NSE - EARLY PAYIN
6	IN631747	BSE CMBP ID - NSDL
7	IN514275	NSE CMBP ID - NSDL
8	1205150000207321	TM/CM CMPA
9	1205150000198831	CDSL CUSA
10	1100002300000349	NSE_SLB EARLY PAYIN
11	1205150000122474	NSE_SLB POOL
12	IN301330 40379076	TM/CM CMPA

## Demat Debit and Pledge Instruction

S.No.	Purpose	Signature of Client
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	 _____
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	 _____
4.	Tendering shares in open offers through Stock Exchange platforms	 _____

From :

Date :

VOLUNTARY

Client Code :

BO ID :

To,

**Rikhav Securities Limited**

Dear Sir,

**Sub: Mandate to issue contract notes & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices, DP Holding Statement etc.) in digital format through an E-Mail.**

I / We hereby agree and consent to accept the contract notes & other correspondences for transactions carried on by us/me on BSE /NSE/NSE-FO/MCX-SX/CD -NSE and DP with you, in terms of the agreement entered into between us/me, in digital form. Digital contracts & other correspondences issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below.

Terms and conditions for issuance of contract notes & other correspondences in digital form between us :-

1. Digital Contract Notes & other statements in the format as may be prescribed by the Exchange from time to time will be mailed to me/us on the E-mail address provided to you.

You can also send me/us my/our margin statement in digital format with contract notes.

2. I / we undertake to check the contract notes and bring the discrepancies to your notice.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: info@rikhav.net
5. Clients can view the digital contract notes using the username & password through the web site apart from the contract notes sent to the client through mail.
6. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
7. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
8. Any changes in the terms and conditions shall be intimated from time to time.
9. Digital Contract Notes will also be available at our Web-site www. rikhav.net
10. Any change in the E-mail ID shall be communicated by us / me through a physical letter.
11. In case of Bounce mail or error in sending mail the responsibility of sending the physical Contract Note is of Member.

You can send me various documents like Daily margin statement, Statement of funds & securities, Account confirmations, bills, notices, DP Holding Statement etc. to an Email ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID \_\_\_\_\_

Signature :  . \_\_\_\_\_

My/Our Alternative E-mail ID \_\_\_\_\_

**FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL**

Client Name					
		First Holder	Second Holder	Third Holder	
1	Are you Indian Resident Person? (Refer Risk Disclosure document At www.rikhav.net)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2	Specify country of residence for tax purpose (if above clause is no)				
3	Specify Tax Identification No./ Others				
Note : if you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA/CRS.					

<b>STANDARD BROKERAGE RATE</b>					
Mention on percentage or paisa very clearly	Trading /Intra-day First leg- Second leg	Minimum (Mention on percentage or paisa)	Delivery (CM) / Carry forward (F&O)	Minimum (Mention on percentage or paisa)	Minimum (per Options contract)
<b>CM Segment</b>	0.10 %	0.10 %	1%	0.10 %	<b>N.A.</b>
<b>F&amp;O Segment</b>	0.10 %	0.10 %	-	-	<b>100/-</b>
<b>Currency</b>	0.10 %	0.10 %	-	-	<b>100/-</b>
<b>MCX &amp; NCDEX</b>	0.10 %	0.10 %	-	-	<b>100/-</b>
<b>SPECIAL BROKERAGE RATES</b>					
Mention on percentage or paisa very clearly	Trading /Intra-day First leg- Second leg	Minimum (Mention on percentage or paisa)	Delivery (CM) / Carry forward (F&O)	Minimum (Mention on percentage or paisa)	Minimum (per Options contract)
<b>CM Segment</b>					
<b>F&amp;O Segment</b>					
<b>Currency</b>					
<b>MCX &amp; NCDEX</b>					

Note : 1. The above rates are exclusive of Stamp Duty, Securities Transaction Tax and GST which will be charged extra at the rate prevailing from time to time. Further it is exclusive of Exchange Transaction. 2. The General Rates as mentioned here shall be applied unless the Special Rates as may be agreed by the Client and the same are mentioned above. 3. For Internet Based Trading (IBT) clients, additional charges with regard to software access etc. will be applicable as per the terms agreed at relevant point in time. 4. Also minimum Contract charges will be charged at Rs.10/- 5. In case the Brokerage Rate not specified then Standard Brokerage Rate will be Applicable.

Client Signature :  \_\_\_\_\_

## Consent letter for same email id & mobile number

To,

**Rikhav Securities Limited**

B 501/ 502, O2 Commercial Bldg.,  
Near Minerva Indl. Estate,  
Mulund West, Mumbai-400080  
Tel. : 022-69078300/ 200

<b>BO ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>5</b>	<b>1</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>						
--------------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	--	--	--	--	--	--

<b>Client Code</b>	
--------------------	--

<b>Sole / First Holders Name</b>	
<b>Second Holders Name</b>	
<b>Third Holders Name</b>	

**Email ID:** \_\_\_\_\_

Client Email ID Belonging to:  Self  Spouse  Dependent Children  
 Dependent Parents

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

<b>Mobile Number on which messages are to be sent</b>																
---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

The Mobile number is registered in the Name of:

\_\_\_\_\_

Client Mobile No. belonging to:  Self  Spouse  Dependent Children  
 Dependent Parents

	<b>Sole / First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature</b>			

Date:

Place:

**OPTION FORM FOR ISSUE OF DIS BOOKLET**

--	--	--	--	--	--

**To,**

Date :

**Rikhav Securities Limited**

B 501/ 502, O2 Commercial Bldg., Near Minerva Indl. Estate, Mulund West, Mumbai-400080  
Tel. : 022-69078300/ 200

<b>Sole / First Holders Name</b>	
<b>Second Holders Name</b>	
<b>Third Holders Name</b>	

I / We hereby state that: [Select one of the options given below]

**OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of Rikhav Securities Limited (name of the attorney / Clearing Member) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.

	<b>Sole / First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature</b>			

**OR**

**OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed in favour of Rikhav Securities Limited (name of the attorney / Clearing Member) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

	<b>Sole / First Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signature</b>			

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

**Acknowledgement Receipt**

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

<b>Client Code</b>	
<b>Sole / First Holders Name</b>	
<b>Second Holders Name</b>	
<b>Third Holders Name</b>	

**Depository Participant Seal and Signature**

**TRADING & DEMAT ACCOUNT CHECKLIST (INDIVIDUAL / NRI)**

Particulars	KYC Details			Address		Bank Details	
	Name	Sign	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR / IFSC Code
KRA Form							
PAN Card							
Passport							
Driving Licence							
Voter ID							
UID (Aadhaar)							
Ration Card							
Telephone Bill							
Electricity Bill							
Bank Statement							
Bank Passbook							
Cancelled Cheque (With Client name & A/c No. Printed)							

**Note :**

- 1) The Proof should be valid on the DATE of agreement.
- 2) The Proof should not be more than 3 months old.
- 3) Bank Statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationery is not available.
- 4) Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

**PROOF OF FINANCIAL DETAILS, any one (for clients who wish to trade in F&O)**

Copy of Income Tax Return	Copy of Annual Accounts	Copy of Form 16 (Salary Certificate)
Networth Certificate	Demat Holding Statement	Bank Statements for last 6 months

**PROOF FOR EXISTING DEMAT ACCOUNT HOLDERS**

DP Statement                      Client Master Report (CMR)

1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form.
2. DP statement should clearly show DP ID & Client ID.

**PROOFS FOR NRI (NON RESIDENT INDIAN)**

1. PAN card
2. Foreign Address and Indian Address (If any) - Valid Passport
3. Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO Status.
4. Proof of Demat Account should be only with NRI status.
5. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.

	Details of KYC Verification		
	Person Verifying	Date	Sign
1) Checking			
2) Interview to client a) Phone / SMS b) HOD Del. / Courier			
3) Entered in back office			
4) Checking & Uploads in DP / BSE / NSE / MCX - SX			
5) KRA Scanned/ Sent			
6) Final Checking & Filing			

# RIKHAV SECURITIES LIMITED

## Annexure A

### **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, Net worth, 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.

## **FREEZING / BLOCKING / UNFREEZE OF TRADING ACCOUNT**

As per SEBI Circular no. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchange Circular no. NSE/INSP/61529 dated April 8, 2024 and BSE Notice No: 20240408-12 dated April 8, 2024 on the subject "Ease of Doing Investments by Investors - Facility of voluntary Freezing/ Blocking of Trading Accounts by Clients". In accordance to the Regulatory Guidelines, we would like to highlight you the procedure wherein you can Freeze/Block access to your Trading Account and the process to re-enable it.

### **• Process for freezing/blocking access to Trading Account:**

**Choose any one mode of communication from the option given below:**

Step 1: Email: Send an email to [compliance@rikhav.in](mailto:compliance@rikhav.in) using your registered email ID with the subject line "Freezing of My Trading Account – your Pan number."

Step 2: Phone Call: You can call us at 022-69078316 from your registered mobile number.

We kindly request you to provide the following details while you are sending us a mail or calling us: -

- UCC/Client ID
- Client Name
- PAN (Permanent Account Number)
- Registered Email ID
- Registered Mobile Number

Please note that upon receiving your request through either channel, we will promptly Freeze/Block your trading account access after verification and confirmation for the same will be sent on your registered email address.

Further, in case of any pending orders same will be cancelled, and open positions will be squared off. For such cases, we will send confirmation of the action taken along with contract expiry details within one hour of freezing or blocking access to your trading account.

### **• Process for unfreezing/unblocking of Trading Account**

**Choose any one mode of communication as given below:**

Step 1: Email: Send an email to [compliance@rikhav.in](mailto:compliance@rikhav.in) using your registered email ID with the subject line "Unfreezing of My Trading Account – your Pan number."**OR**

Step 2: Phone Call: You can call us at 022-69078316 from your registered mobile number.

**We kindly request you include the following details while you are sending us a mail or calling us: -**

- UCC/Client ID
- Client Name
- PAN (Permanent Account Number)
- Registered Email ID
- Registered Mobile Number

Please note that once your request to unfreeze your Trading Account is verified same will be processed and confirmation for the same will be sent to you on registered email address.

## **GOOD TILL TRIGGERED (GTT) ORDER POLICY**

**Rikhav Securities Limited** (hereinafter referred to as “Rikhav”) is providing the Good Till Triggered (GTT) order facility to its clients. Therefore, as per Exchange(s) / SEBI guidelines, Rikhav has formulated the following policy to handle Good Till Triggered orders in case of corporate actions.

### **Purpose**

The purpose of this Good till Triggered (GTT) order policy is to define the procedures and conditions under which GTT orders are placed, managed, and executed. This policy aims to provide clarity on how GTT orders work and ensure that they are handled in a transparent and efficient manner.

### **Details of Good till Triggered (GTT) Order Facility**

Rikhav offers the GTT order facility to its clients. A GTT order is a type of conditional order that remains valid until a predefined trigger condition is met. Once the trigger condition is satisfied, the GTT order is activated and executed according to the specified instructions.

### **Trigger Condition:**

The client must specify the conditions under which the GTT order will be activated. This could include price levels, quantity, or other relevant criteria. Further, on trigger of price, the GTT order will then be executed with the exchange.

### **Order Details:**

The client must provide complete details of the GTT order, including the trigger condition, order type (buy/sell), quantity, price, and any additional instructions.

### **Duration:**

The validity of GTT orders will be 90 days from the date of placing the order using the GTT facility, except for derivatives orders, which will automatically extend for an additional 90 days on the last day and will continue to do so thereafter, which will be valid until the expiry date.

### **Trigger Satisfaction:**

Once the trigger condition is met, the GTT order is activated and treated as a standard order, subject to market conditions and execution parameters.

### **Activation:**

Upon activation, the GTT order will be executed based on the prevailing market conditions and the instructions provided by the client. GTT orders will only get executed if the client has sufficient funds/margins in its Rikhav Securities trading account. The GTT order for selling holdings will be executed only if the client has sufficient holdings in the Demat account or positions.

The client understands that in case the scrip in which the GTT order has been placed is subsequently included in ASM / GSM, the order will be cancelled automatically. GTT is available only for CNC / MTF (Cash Segment) and NRML (Derivatives Segment) orders and is not available for other product types.

### **Manner of Handling of GTT Orders in Case of Corporate Actions**

(e.g., cancellation, price reset, retaining, etc. for unexecuted orders)

In the event of a corporate action, such as bonus, dividend, stock split, etc., GTTs associated with the respective stocks will be automatically cancelled prior to the ex-date. Clients will need to manually re-place the GTTs after the completion of the corporate action.

This cancellation is implemented to prevent the triggering of orders due to stock price movement resulting from corporate action. All clients will be intimated regarding the cancellation of unexecuted GTT orders at least one day prior to the ex-date.

### **Partial Execution**

If only part of the order can be filled, the remaining quantity may remain open or be cancelled based on client instructions.

### **Market Conditions**

Execution is subject to market liquidity and other factors. The company does not guarantee that the order will be executed at the specified price.

### **Modification**

Clients may modify the trigger condition, order details, or other relevant parameters of a GTT order before it is activated.

### **Cancellation**

Clients can cancel a GTT order at any time before it is triggered. Once activated, the order can only be cancelled or modified according to standard order management procedures.

In the event of corporate actions, all existing GTT orders are cancelled prior to the ex-date of the corporate action and clients will be intimated one day prior.

### **Market Risk**

Clients should be aware of market risks, including price volatility and liquidity issues, which may impact on the execution of GTT orders.

### **System Risk**

There may be technical issues or system limitations that affect the activation and execution of GTT orders. The company does not guarantee that the order will be triggered and executed during periods of market volatility.