

CLIENT REGISTRATION FORM

EQDP-25.01



RS Wealth Management Private Limited

NSE/BSE/MCX/DP-CDSL

Client Name		Client Code	
Branch Name		Branch Code	
RM/AP Name		RM/AP Code	
Trading Scheme		DP Name/Scheme	
Trading Mode	Online Offline	Form No./File No.	
Client/BO ID		DP Group Code	

Only Trading Only DP Combined

🌐 WWW.RSWEALTH.IN

DOCUMENTS REQUIRED AS PER SEBI CIRCULAR CIR/MIRSD/16/2011 DATED 22-08-2011
Read with SEBI Circular bearing Reference No. MIRSTD/SE/CIR-19/2009 dated 3-12-2009

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Sr.No.	Name of the Document	Brief Significance of the Document	Part A/B	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY DEPOSITORIES, EXCHANGES & SEBI				
1.	Account Opening Form	A. KYC form Document captures the basic information about the constituent and an instruction/check list. B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	Part A	1-11
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Part B	1-11
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Part B	13-16
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Part B	17-29
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (to be added by the stock broker).	Part B	19-23
6.	Tariff Sheet	Document detailing 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).	Part A	22
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Name of stock Broker- RS WEALTH MANAGEMENT PVT. LTD. (Member : NSE/BSE/MCX/DP-CDSL).

Registered Office: 606 Pearl Best Heights-2, Plot No.c-9 Netaji Subhash Place, Pitampura-110034, Ph:011-40821500

Correspondence Office: 606 Pearl Best Heights-2, Plot No.c-9 Netaji Subhash Place, Pitampura-110034, Ph:011-40821500

Compliance Officer:

(Depository & Broking)

NSE/BSE/MCX/ CDSL :

Mrs.Neetu Arora

Ph No.: 011-40821500

Email id: compliance@rswwealth.in

CEO:

Mr.Punit Arora

Ph. No.: 011-40821500

Email id: punitarora@rswwealth.in

Clearing Member for
NSE/BSE/MCX
FO/CD/COMM Segments:

M/S GLOBE CAPITAL MARKET LIMITED
609, Ansal Bhawan, 16, K G Marg, C.P, New Delhi-110001
Tel.: 011-43666400 www.globecapital.in

DETAILS OF EXCHANGE MEMBERSHIP

EXCHANGE	MEMBERSHIP NO.	SEBI REG. NO.	DATE
National Stock Exchange NSE-Cash, FO & CDS	90151	INZ000009936	24-09-2015
Bombay Stock Exchange BSE-Cash, FO, CDS & Commodity	6616	INZ000009936	24-09-2015
Multi Commodity Exchange MCX	55800	INZ000009936	24-09-2015
CDSL Depository	12089600	IN-DP-434-2019	17-09-2019

EXCHANGE-WISE INVESTOR GRIEVANCE CELL

EXCHANGE	WEBSITE	EMAIL	PHONE
National Stock Exchange (NSE)	www.nseindia.com	ignse@nseindia.com	022-26598100 1800 266 0058
Bombay Stock Exchange (BSE)	www.bseindia.com	is@bseindia.com / iscdelhi@bsindia.com	022-22721237
Multi Commodity Exchange (MCX)	www.mcxindia.com	grievance@mcxindia.com	022-67318888
Depository CDSL	www.cdsindia.com	complaints@cdsindia.com	022-22723333

ACKNOWLEDGEMENT TO RSWM FROM CLEINT

To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhash Place, Pitampura-110034

- I/We hereby confirm that I/we have read, understood, agreed and received a duly executed copy of the:
• Account Opening Form.
• Trading Account Related Details & Tariff Sheet (Trading & Demat Account).
• Rights and Obligations of Members/ Stock Brokers, Authorized Person and clients.
• Rights and Obligations of Beneficiary owner and Depository Participant as prescribe by SEBI and Depository.
• Internet and Wireless technology based trading facility provided by Stock Brokers to Client.
• Risk and Disclosure document for Capital market, Derivative and Commodity Segments.
• Guidance note-Do's and Don't for trading on Exchange(s) for Investors.
• Policies and procedures.
• Terms & Conditions as Mutually agreed by me & FATCA& CRS Terms & Conditions.
• Others disclosure/document as agreed by me specifically in voluntary segment.
• Copy DDPI (Demat Debit and pledge instruction)

"Investors may lodge their complaints by sending an email to us or by sending an email at the nearest Investor Service Centre of stock exchange or by sending physical complaint to the nearest investor service centre of stock exchange or through SEBI SCORES 2.0 (Home - scores.sebi.gov.in) or through SMART ODR Portal (https://smartodr.in/)."

Thanks and Best Regards,

Client Code : _____

Name _____

Signature (1) _____



TO BE FILLED BY INTERMEDIARY / EMPLOYEE

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 available on my/our website, if any, for the information of the clients.

INTRODUCER DETAILS

Name of the Introducer :
Employee/AP. Code : Employee/AP. E-mail :
Mobile : Phone (with STD Code) :
Employee Authorized Person Existing Client Other (Please Specify Others)
Address of the Introducer :

Signature of the Introducer; _____

Important Links:

- 1. Account Closure- https://closure.meon.co.in/cloud_closure/closure/rswealthnew
2. Client Copy- https://rswealth.in/wp-content/uploads/2026/05/Client-Copy-2.pdf



**Know Your Client (KYC)
Application Form (For Individuals Only)**



RS WEALTH MANAGEMENT Pvt. Ltd.



Please fill in ENGLISH and in BLOCK LETTERS with black ink
KYC Number of applicant

A. Identity Details Please fill in ENGLISH and BLOCK LETTERS with black ink

Prefix	First Name	Middle Name	Last Name
1. Name of Applicant			
Name as per Income Tax Record			
Maiden Name (if any)			
Father / Spouse Name			
Mother Name			
2. A. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender B. Marital status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others _____			
3. PAN _____ Nationality / Citizenship <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify) _____			
4. Residential Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation (Please tick (3) any one and give brief details):			
<input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify) _____			
5. UID/Aadhaar :X X X X X X X X _____ Date of Birth d d m m y y y y			
6. Proof of Identity submitted for PAN exempt cases (see guideline 'D' in check list.)			

PHOTOGRAPH
Please affix the recent passport size photograph and sign across it

B. Address Details

1. Address for Correspondence

State _____ City/Town/Village _____
Country _____ Pin Code _____

2. Contact Details

Mobile (Primary) (ISD) (STD) _____ **Mobile (Secondary)** (ISD) (STD) _____
Tel. (ISD) (STD) _____ Fax (ISD) (STD) _____

MOBILE (Primary) given by me belongs to Me Spouse Dependent children Dependent Parent
Mobile No. is registered in name of _____ who's PAN No. is _____

E-Mail ID. (In Capital Letters only) _____
E-mail ID is registered in name of _____ who's PAN No. is _____

E-MAIL ID given by me belongs to Me Spouse Dependent children Dependent Parent

3. Specify the Proof of Address submitted for Residence / Correspondence Address UID Bank Statement Other _____

4. Permanent Address of Resident Applicant if different from above B1 OR Overseas Address (Mandatory) for Non-Resident Applicant

State _____ City/Town/Village _____
Country _____ Pin Code _____

5. Specify the Proof of Address submitted for Residence / Permanent Address _____

*See Instruction cum check list at the last page

C. Fatca & CRS Detail Nationality/Tax Residency/Citizen ship Other than India No Yes

Country of Birth _____ **Place/City of Birth** _____

Country of Citizenship/Nationality _____

Country of Tax Residency (Other Than India) _____

Tax Payer Identification Number (Other Than India) _____

2. Gross Annual Income Details : Income Range per annum : Below Rs. 1 Lac Rs. 1 Lac to 5 Lac
(please tick ✓) Rs. 5 Lac to 10 Lac Rs. 10 Lac to 25 Lac >25 Lac

Declaration : I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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. I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as an audit evidence. I will have an option to request for deleting of my Aadhaar record. I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/ agencies/ Intermediaries with whom I have a business relationship for KYC purposes only.

SIGNATURE OF APPLICANT

(2)

Place: _____
Date: _____

IPV TO BE FILLED BY - EMPLOYEE/AP/OTHERS

Intermediary name OR code _____

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received Main Intermediary

IN-PERSON VERIFICATION (IPV) DOCUMENTS VERIFIED WITH ORIGINALS CLIENT INTERVIEWED BY

Date : d d / m m / y y y y Institution Name & Code : RS WEALTH MANAGEMENT PVT. LTD.

Name : _____ Code : _____

Designation : _____ Signature : _____



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.

Please Submit the KYC Documents on A4 Size Paper Only.

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT (INDIVIDUAL)

DP ID : 12089600

DP ID	1	2	0	8	9	6	0	0	Client ID								
-------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

I/We request you to open a depository account in my/our name as per following details :
(Please fill all the details in CAPITAL/BLOCK LETTERS only)

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

A. TYPE - SUBTYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Minor	<input type="checkbox"/> PMS	<input type="checkbox"/> Foreign National
<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> FPI	<input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> CM/TM - Proprietary		
<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Promoter		
<input type="checkbox"/> CM/TM Client Securities Margin Pledge Account	<input type="checkbox"/> Others (Specify) _____		

B. HOLDERS DETAILS	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Birth			
Occupation			
UCC		—	—
Exchange Name & ID		—	—
Brief Details			

C. Name	PAN
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.	

D. DETAILS OF GUARDIAN (in case the account holder is minor)

Guardian's Name	PAN
Relationship with the applicant	Date of birth

E. STANDING INSTRUCTIONS

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
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	<input type="checkbox"/> As per SEBI Regulation <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 the email Id given on KYC page	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Electronic)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
I/We wish to receive dividend/interest directly in to my/our bank account as 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
For joint accounts communication to be sent to	<input type="checkbox"/> First Holder <input type="checkbox"/> All Joint Account Holders
Mode of Operation for Joint Accounts (*see notes)	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor (s) <input type="checkbox"/> First Named Holder Only
If Mode of Operation for Joint Account is choosen as anyone of the holder or survivor(s), only specified operation such as transfer of securities including Inter-Depository Transfer pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and /or securities and / or specific number of securities will be permitted.	
SMS Alert Facility Refer to Terms & Conditions given as Annexure A	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] / Demat Debit and Pledge Instruction (DDPI) (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.

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name		
Signatures	(3)	(1)

Nominee 5								
Nominee 6								
Nominee 7								
Nominee 8								
Nominee 9								
Nominee 10								

*Joint Accounts:

Event	Transmission of Account / Folio to
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 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.

(strike off portions that are not relevant).

3. This nomination shall supersede any prior nomination made by me/ us, if any.

Name(s) of holder(s)		Signature(s) 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 prescribed in relevant regulations and circulars issued by SEBI from time to time.
- 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, in case of your physical incapacitation. This mandate can be changed any time you choose.
- The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio/ demat account. i.e.
 - 'Either or Survivor' Folios / Accounts - any one of the holder can sign
 - 'Jointly' Folios / Accounts - both holders have to sign

A. IMPORTANT POINTS:

1. Self attested copy of PAN 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/PIO Card/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.

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	<ul style="list-style-type: none"> • 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 • Authorized signatories list with specimen signatures
Partnership firm	<ul style="list-style-type: none"> • 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 • Authorized signatories list with specimen signatures • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate • Authorized signatories list with specimen signatures
Army/Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead • Authorized signatories list with specimen signatures
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution for persons authorized to act as authorized signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

ANNEXURE

Name of the Applicant _____ PAN of the Applicant _____

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and Wholetime/Other Directors :

1. Name _____

Date of Birth / / Status _____ PAN _____

Residential Address _____

DIN _____ UID DPIN _____

Mobile _____

E-Mail ID. (In Capital Letters only) _____

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

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

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

2. Name _____

Date of Birth / / Status _____ PAN _____

Residential Address _____

DIN _____ UID DPIN _____

Mobile _____

E-Mail ID. (In Capital Letters only) _____

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

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

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

3. Name _____

Date of Birth / / Status _____ PAN _____

Residential Address _____

DIN _____ UID DPIN _____

Mobile _____

E-Mail ID. (In Capital Letters only) _____

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

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

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

4. Name _____

Date of Birth / / Status _____ PAN _____

Residential Address _____

DIN _____ UID DPIN _____

Mobile _____

E-Mail ID. (In Capital Letters only) _____

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/Wholetime/Other Directors:

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

Photographs of
Promoters / Partners /
Karta / Trustees /
Wholetime / Other
Directors &
authorised signatories

(7)

Date

Name & Signature of the Authorised Signatory(ies)

DP ID	1	2	0	8	9	6	0	0	Client ID									
I/We request you to open a depository account in my/our name as per following details : (Please fill all the details in CAPITAL/BLOCK LETTERS only)										Date	D	D	M	M	Y	Y	Y	Y

TYPE OF ACCOUNT (Please tick whichever is applicable)

<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> HUF	<input type="checkbox"/> Mutual Fund						
<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> CUSA	<input type="checkbox"/> Stock Broker						
<input type="checkbox"/> Others (Specify)										
Sub Type	<input type="checkbox"/> TM Client Securities Margin Pledge Account	<input type="checkbox"/> Stock Broker-Proprietary	<input type="checkbox"/> LLP							
	<input type="checkbox"/> CM Client Securities Margin Pledge Account	<input type="checkbox"/> Foreign Bodies	<input type="checkbox"/> Escrow							
	<input type="checkbox"/> TM/CM Client Securities Margin Pledge Account	<input type="checkbox"/> Unclaimed Securities								
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
ROC Registration No. (if applicable)		ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian	<input type="checkbox"/> Others (specify)								

HOLDERS DETAILS

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
PAN			
Date of Incorporation			
UCC			
Exchange Name & ID			
Brief Details			
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.

STANDING INSTRUCTIONS

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
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <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 the email Id given on KYC page	<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
Account Statement Requirement (If not marked, the default option would be as per SEBI Regulation)	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
I would like to receive the Annual Report (Tick the applicable box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic
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
SMS Alert Facility Refer to Terms & Conditions given as Annexure A	MOBILE No.: +91-..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

	Sole / First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name, Designation & Signatures	(8)	(4)	(4)

(Signatures should be preferably in black ink) (In case of more authorized signatories, please add annexure)

TRADING & DEMAT ACCOUNT RELATED DETAILS

For both Individuals & Non- Individuals

A. BANK ACCOUNT(S) DETAILS

I. BANK ACCOUNT DETAIL

Sr No.	Bank Name & Address	Bank Account No.	Account Type	MICR No.	IFSC Code
PRI					
SEC					

B. DEPOSITORY ACCOUNT(S) DETAILS

Sr No.	Depository Participant Name	Depository Name	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
PRI	RS WEALTH MANAGEMENT PVT. LTD.	CDSL		12089600	
SEC					

I authorize you to transfer the shares purchased by me to the above mentioned demat beneficiary account.

C. TRADING PREFERENCE

Select and Sign against the Segment of Exchange in which Trading facility required:

Exchanges	NSE , BSE		BSE	MCX,BSE
All Segments	Cash/ Mutual Fund	F & O	Currency	Commodity Derivatives
	☑ 9a	☑ 9b	☑ 9c	☑ 9d

If you do not wish to trade in any of segment, Please mention here:

Important Risk Disclosures from SEBI

Please read the following pointers before participating in the derivatives segments of the markets

Risk Disclosures on Derivatives

01. 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses
02. On an average, loss makers registered net trading loss close to ₹50,000
03. Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs
04. Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

1. I/We are interested to trade into commodity options and hereby accord my/our consent to trading in commodity options.
2. I/We have gone through the additional risk disclosure document and have appraised myself/ourselves with the risk of trading in commodity options.
3. This consent is valid till I/we revoke the same. I/We understand that I/We have right to withdraw the same at any point of time.

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

D. ADDITIONAL DETAILS

I. I/We hereby request you to provide the Contract Notes, Daily Margin Statements, Monthly Statements, Settlement Extracts, AGTS, etc. at my/our registered email id. My/our Email Id has been created by me/us and not by someone else. I/We am/are aware that non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my/our e-mail ID. Yes No

- Whether you wish to receive your executed KYC Electronically Physically
- Whether you wish to avail of the facility of internet trading/ wireless technology: Yes No (if yes, the please specify). Application Base Trading Web Base Trading Securities using Wireless Technology.
- Number of years of Investment / Trading Experience : _____
- Any other information: _____



E. OTHER DETAILS

■ **Net Worth** (Net worth should not be older than 1 year) **Amount Rs**.....

as on (date)

■ **Is the entity involved/providing any of the following services** Yes No

- For Foreign Exchange/Money Changer Services Yes No - Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates)

- Money Lending/ Pawning Yes No

■ **GST Registration Details**

S.No.	State	State Code	GST Registration No.	Validity Date
1.				

■ **Political Exposed Person (PEP) 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) :

Not a Politically Exposed Person Not Related to a Politically Exposed Person Politically Exposed Person Related to a Politically Exposed Person

■ **Any other information:**

F. PAST ACTIONS

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

G. DEALINGS THROUGH A.P AND OTHER STOCK BROKERS

G1. DEALINGS THROUGH A.P

• If client is dealing through the A.P, provide the following details:

A.P Name: _____ SEBI Registration number: _____

Registered office address & Contact Details : _____

G2. DEALINGS THROUGH OTHER STOCK BROKERS / A.P

• whether dealing with any other stock broker / A.P (if case dealing with multiple stock broker / A.P, provide details of all)

Name of Stock Broker: _____ Name of A.P, if any: _____

Client Code: _____ Exchange: _____

• Details of disputes/dues pending from/to such stock broker / A.P : _____

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', 'Policies & Procedures' 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.

Place:

Date:

	Sole / First Authorized Signatory	Second Authorized Signatory	Third Authorized Signatory
Name			
Signatures	(10)	(5)	(5)

(Signatures should be preferably in black ink)

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

TARIFF SHEET

BROKERAGE STRUCTURE

I Accept Below Mention Charges Related to my DP & Trading Account with RS Wealth Management Pvt. Ltd

PLAN: A

PLAN B

Rs.20 Per executed Order Plan

Rs.20 Per executed Order in Equity(NSE/BSE). Equity Derivatives(NSE/BSE),Currency Derivative (BSE) and Commodity Derivative(MCX/BSE)

Brokerage Slab	% of Turnover	Minimum paisa per share
Delivery Based		Paisa _____ Per Share
Daily Square up		Paisa _____ Per Share
Equity Future		Paisa _____ Per Share
Equity Option		Rs. _____ Per Lot
Commodity Future		Paisa _____ Per Share
Commodity Option		Rs _____ Per Lot
Currency Future		Paisa _____ Per Share
Currency Option		Rs. _____ Per Lot

In addition to the brokerage charges the following charges will be charged.

GST, Securities Transaction Tax/Commodity Transaction Charges, Stamp Duty, SEBI Turnover Fees and other statutory & Mandatory charges will be charged, Inter settlement/ Beneficiary to pool charges, Depository/pledge charges form the Movement of shares or commodities b/w pool/beneficiary/margin a/c for paying/partely or margin purpose will be charged. Physical contract notes. Offline statements or other related document being dispatched to client will be charged Call & trade SMS/Courier/Administration/Warehouse Risk Management/Open Interest/Processing/Accounting/or any other charges and Penalties prescribed/levied by Exchange Regulatory authority form to time will be charged(as applicable). Further, in addition to Exchange levied penalty for short / non collection of margin a delay payment charges up to @2% per month would be charged for debit/shortage in pay in / margin default as applicable .One time Processing fees 50/- per segment and DDPI charges Rs 110/- shell be charge.

Note

Charges/ Service Standards are subject to revision at sole discretion of RS Wealth Management Pvt. Ltd. In case any other Service would be provided to the client then the cost incurred by the company would be chargeable to the client . Call & Trade Charges will be charged in plan A on expired, exercised and assigned (Futures and Options contract as applicable).In Case of Discontinuation of plan A then Brokerage will be charged as per plan B . Brokerage will not excess the rates specified by SEBI and the exchanges. For more details explanations for taxes and charges visit our website <http://rswealth.in/list-of-charges/>

SCHEDULE OF CHARGES FOR DEMAT ACCOUNT INDIVIDUAL/ CORPORATE			
NATURE OF SERVICES	CHARGES (Please tick whichever applicable)		
	<input type="checkbox"/> Regular Scheme	<input type="checkbox"/> Relax	<input type="checkbox"/> Life time
Account Maintenance Cycle	Four Quarter (1Year)	Twenty Quarter (5 Year)	Life Time
Maintenance Charges (Non-Corporate Account)	₹250/- for first Quarter remaining three Quarters FREE	₹650/- for first Quarter remaining nineteen Quarters FREE	₹999/-
Maintenance Charges (Corporate Account)	₹800/- for first Quarter remaining Quarters FREE	Not Applicable	Not Applicable
TRANSACTION CHARGES			
Delivery	Market Transaction	₹20/- per instruction	
	Off Market Transaction	₹25/- per instruction or 0.03% of transaction value, whichever is higher, subject to maximum of '1000/-	
Pledge Creation/Closure/Invocation		Pledge Rs.15,Unpledge Rs.5 per instruction.	
Demat Charges		₹50/- per request (DRF) and ₹30/- per Certificate + Courier charges+ GST	
Remat Charges		₹50/- per request and ₹25/- per Certificate + CDSL Charges whichever is higher	
Mutual Funds (Destat/Redemtion)		₹50/- per instruction plus courier charges	
Instruction Booklet		₹25/- for 10 Leaves Booklet + Courier Charges + GST	


Note:

The Depository Participant shall reserve the right to revise the charges by giving not less than 30 days notice in writing to the client . Value of Transaction will be in accordance with the Depository formulae. Modification in client detail, 40/- per instance. Maintenance charges will be charged in advance at the time of opening the account . Rejection charges 50/- per rejection plus courier charges. Slip Rejection/Fail charges 20/- per rejection. Off-Market Instruction not received prior to 24 hours of execution will be received at client's risk. Instruction for Pay-in of securities to transfer from client account to CM Pool account, Inter settlement instruction, CM Pool to CM Pool transfer and delivery instruction will be accepted up till 4:00 PM on working day prior to Pay-in date. Periodic statement free on Email and Rs 40/- towards courier charges if sent physically. Non- periodic statement shall be charged @5/- per page and postage/ courier charge@40/- or actual charges whichever is higher. In case of non- payment of bill/dues within 30 days of due date, interest shall be charged @ 13% per annum on the outstanding dues. Rs100/- will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip. All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time. Demat rejection and CKYC/KRA Charges will be charged. "ASper SEBI CircularNo. SEBI/HO/MIRSD-PoD1/P/CIR/2024/91 dated 28th June 2024, for BSDA(Basic Service Demat Account)

1. Nil AMC for ,Individual having / Propose to have only one Demat a/c across all depositories with holding valuation up to Rs. 4 Lakhs.
2. Rs. 100/-asAMC for ,Individual having / Propose to have only one Demat a/c across all depositories with holding valuation More than Rs. 4 Lakhs but up to Rs. 10 Lakhs. Physical statement charges Rs.25/- per Instancefor BSDA Subject to term and conditions mentioned by SEBI and other service charges will be applicable at par with Non BSDA A/c holders."

I/We do not wish to avail BSDA facility in my/our Demat Account

I/We wish to avail BSDA facility in my/our Demat Account

(11) 
Signatures

(6) 
Second Holder Signature

(6) 
Third Holder Signature


For RS Wealth Management Pvt. Ltd.
Authorized Signatory (on behalf of Depository Participant)

BSDA Declaration and Opt-Out Consent Form

Client Name: _____

Client PAN: _____

Client ID: _____

Date: _____

1. ACCOUNT TYPE SELECTION

As per SEBI guidelines, you have the option to choose between a Basic Services Demat Account (BSDA) and a Regular Demat Account. Please select **one** option below:

- **REGULAR DEMAT ACCOUNT (BSDA OPT-OUT)** I/We do **not** wish to avail of the BSDA facility and instead opt for a Regular Demat Account. I/We understand that standard tariff/charges will apply to this account.
- **BASIC SERVICES DEMAT ACCOUNT (BSDA)** I/We wish to avail of the BSDA facility. I/We declare that the total value of securities held in this demat account (across all depositories) shall not exceed the limits prescribed by SEBI for BSDA eligibility.

2. MANDATORY DETAILS FOR BSDA OPT-OUT

Complete this section **only** if you selected "Regular Demat Account" above.

A. Consent Mode Please indicate the mode through which this consent is being provided (Select one):

- Online / Mobile App (Digital Channel)

B. Client Consent Date Date of Consent: _____

3. DECLARATION & SIGNATURE

I/We hereby declare that the choice indicated above has been made voluntarily after understanding the features of both account types. I/We agree to abide by the terms and conditions governing the selected account type.

Signature of Sole/First Holder: _____


Signature of Second Holder: _____

Signature of Third Holder: _____

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED
BY STOCK BROKERS TO CLIENT**

**(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable.
Additionally, the clauses mentioned herein shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities/commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/commodities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

Sign here (13) 

ANNEXURE - A

TERMS AND 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:

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 accountholders 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. 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 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 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 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.

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

Mobile Number and Email ID is same as per KYC page, on which message are to be sent. The mobile number is registered in the name as given in KYC

Signatures (14) 

 Sole/First Holder Signature

(8) 

 Second Holder Signature

(8) 

 Third Holder Signature

ANNEXURE - B

TERMS AND CONDITIONS FOR AVAILING TRANSACTION USING SECURED TEXTING (TRUST) SERVICE OFFERED BY CDSL

1. Definitions:
In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:
 - i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the prescribed time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration.
Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non-receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorizes Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
Depository shall be absolved of any liability in case :-
 - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

- a. SMART - SMS alert facility
- b. TRUST - Transaction using Secured Texting facility.


(please note that SMS alert facility is mandatory if TRUST facility is opted for)

Mobile Number and Email ID is same as per KYC page, on which message are to be sent. The mobile number is registered in the name as given in KYC

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 availing the said facility.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies 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.

(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

Signatures **(15)** 

Sole/First Holder Signature

(9) 

Second Holder Signature

(9) 

Third Holder Signature

(A) E-MAIL ID / MOBILE NUMBER DECLARATION

I/We hereby request you to send all your communication pertaining to my/our trade like Trade Confirmation, Contract Notes, MTM Obligation, Margin Calls or any other communication (Which is necessary from your Compliance point of view) including the verification call from RS Wealth Management Pvt. LTD. etc. on the below mentioned mobile number/E-mail ID. Date : _____

Contact Mode	Mention E-mail / Mobile	Mobile / E-mail is registered in the Name (Please tick the correct box)			
		Self	Spouse	Dependent Child	Dependent Parent
E-mail		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mobile No.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I/We confirm that:

The said Mobile is registered in the name of _____ and the Email is/is also registered in the name of _____

I/We am/are also aware that the Exchanges have been pursuing a process of confirming the trade details directly to the Clients via SMS and Email alerts which they have carried out through their respective Trading Member. Accordingly, I/We accord my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details for the purpose. I/We hereby authorize you for sharing the said contact details with Exchanges.

SIGNATURE OF CLIENT

(16) 

Name of the Client : _____
Trading Code : _____
Date : _____

(B) CLIENT DEFAULTER DECLARATION

I/We having PAN No. do hereby declare that I/We have never been involved in any terrorist activity and I/We have not been declared as defaulter or my/our name is/are not appearing in defaulter database as per SEBI/Various Exchange/Regulatory bodies/CIBIL(Credit Information Bureau Of India Ltd.)etc.

SIGNATURE OF CLIENT

(17) 

Name of the Client : _____
Trading Code : _____
Date : _____

(C) DOCUMENTARY EVIDENCE OF FINANCIAL DETAILS FOR TRADING IN DERIVATIVE SEGMENT

- Copy of ITR acknowledgment
- Copy of annual Accounts
- Net-worth Certificate
- Bank account statement for last six months.
- Copy of DEMAT holding statement
- In case of Salaried persons Latest Salary Slip and Form 16 copy
- Any other relevant documents substantiating ownership of assets.
- Self declaration along with relevant supporting.

(D) VERBAL ORDER ACCEPTANCE AUTHORISATION




To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhas Place, Pitampura-110034
Dear Sir,

I/we am dealing with you as client at NSE/BSE in cash, Derivative Segment in NSE/BSE/MCX. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealing on my/our behalf as per instruction given below.

I/We agree and acknowledge that it is advised by you that I/We should give instruction for order placement/modification and cancellation in writing and to avoid disputes. I/We must give instruction in exactly the format given below in duplicate (Carbon copy/photocopy only) and take signatures of at least two authorized officers at the branch along with company stamp on the carbon copy/photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid the it is practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you accept my/our authorized representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line/mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same.

I/We shall be liable for all losses, damages and actions which may arise as a consequences of your adhering to and out my/our directions given above. carrying

Signatures (18)  _____ (10)  _____ (10)  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

(E) FIT AND PROPER PERSON DECLARATION

As per Regulation 19(I) of Securities Contracts (Regulation) (Stock Exchange and Clearing Corporations) Regulations, 2012 (SECC Regulation) which states that no person shall, directly or indirectly, acquire or hold equity shares of a recognized Stock Exchange or recognized Clearing Corporation unless he is a fit and proper person in terms of Regulation 19 and 20 of the said SECC Regulations.

Regulation 19 and Regulations 20 as prescribed by SEBI (herein referred as –Board) are reproduced below:

Eligibility for acquiring or holding shares.

19. (1) No person shall, directly or indirectly, acquire or hold equity shares of a recognized stock exchange or recognized clearing corporation unless he is a fit and proper person.
- (2) Any person who, directly or indirectly, either individually or together with persons acting in concert, acquire equity shares such that his shareholding exceeds two per cent of the paid up equity share capital of a recognized stock exchange or recognized clearing corporation shall seek approval of the Board within fifteen days of the acquisition.
- (3) A person eligible to acquire or hold more than five per cent of the paid up equity share capital under sub regulation (2) of regulation 17 and sub-regulation (2) of regulation 18 may acquire or hold more than five percent of the paid up equity share capital of a recognized stock exchange or a recognized clearing corporation only if he has obtained prior approval of the Board.
- (4) Any person holding more than two per cent. of the paid up equity share capital of the recognized stock exchange or the clearing corporation on the date of commencement of these regulations, shall ensure compliance with this regulation within a period of ninety days from the date of such commencement.
- (5) If approval under sub-regulation (2) or (3) is not granted by the Board to any person, such person shall forthwith divest his excess shareholding.
- (6) Any person holding more than two per cent. of the paid up equity share capital in a recognized stock exchange or a recognized clearing corporation, as the case may be, shall file a declaration within fifteen days from the end of every financial year to recognized stock exchange or recognized clearing corporation, a the case may be, that he complies with the fit and proper criteria provided in these regulations.

Fit and proper criteria.

20. (1) For the purpose of these regulations, a person shall be deemed to be a fit and proper person if—
 - (a) such person has a general reputation and record of fairness and integrity, including but not limit to—
 - (I) financial integrity;
 - (ii) good reputation and character: and
 - (iii) honesty;

(b) such person has not incurred any of the following disqualifications—

- (I) the person, or any of its whole time directors or managing partners, has been convicted by a court for any offence involving moral turpitude or any economic offence against the securities laws;
- (ii) an order for winding up has been passed against the person;
- (iii) the person, or any of its whole time directors or managing partners, has been declared insolvent and has not been discharged;
- (iv) an order, restraining, prohibiting or debarring the person, or any of its whole time directors or managing partners, from dealing in securities or from accessing the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the expiry of the period specified in the order has not elapsed;
- (v) any other order against the person, or any of its whole time directors or managing partners, which has a bearing on the securities market, has been passed by the Board or any other regulatory authority, and a period of three years from the date of the order has not elapsed;
- (vi) the person has been found to be of unsound mind by court of competent jurisdiction and the finding is in forced; and
- (vii) the person is financially not sound.

(2) If any question arise as to whether a person is a fit and proper person, the Board's decision on such question shall be final.

I/we hereby declare that, I/we am/are fit & Proper person as per the above rules & regulations of the SEBI

(F) GENERAL AUTHORITY

Sub: General Authority

I/we are dealing with you as client at NSE/BSE/MCX in Capital market and /or Future & Option Segment and or Commodity segment and or Currency Segment & in Order to facilitate ease of operations and upfront requirement of margin for trade, I/we authorize you as under:

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other segments maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. 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 issued by you.
3. I agree that if my contract note bounce for more than 5 times you may dis-continue sending contract note/other documents/details /information on my e-mail and will start sending physical documents and same may attract administration/other charges.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or all the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorize you to debit the financial charges@2% p.m. for the debit balances or delay payment charges at the rate prescribed by exchange for shortage in margin/debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
6. We request that you/exchange/commodities/other regulatory authority may send/dispatch us contract notes/e-mail alert/other documents through e-mail on my/our designated e-mail address mentioned by me/us in KYC. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute on the same. I/We note that non-receipt of bounced mail notification by the stock broker shall amount of the contract note at my/our e-mail ID.
7. I/We will inform you the change of my/our email: ID, either by Post or Email.
8. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vast, lease line, ISDN, Modem, VPIN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations and your services may at any time be unavailable without further notice and I/We understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We am/are agree able for inter-settlement transfer of securities/commodities towards settlement.
11. All fines/penalties and charges levied upon you due to my acts/deeds or transaction may be recovered by you from my account.
12. I/we am/are agreeable for & authorize you to withhold funds pay-out towards all the applicable margins and debits.

13. I have a Trading & Demat a/c with you; please debit the charges relevant with depository services from my trading account on monthly basis or as bill generated. I also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reason.
14. I We/ Shall abide by the rules regulations/guidelines circular of the exchange issue from time to time as applicable and shall be liable for non-adherence.
15. I We agree that any MTM loss on open position should be adjusted against the initial deposit maintained in cash by me /you with you.
16. With reference to Trading Account open with you for the purpose of dealing in Derivative Segment of the Exchanges. In case of default in daily margin of failure to fulfill in any additional margin requirement stipulated by you (include levied by the Exchange) or if any outstanding debt occur in my/our account, I/We irrevocably authorized you to closed out / liquidate whole or any part of my/ our position without prejudice to your right to refer the matter to Arbitration. Any or all losses and financial charge on account of such liquidation/closing out, etc. shall be charged to and borne by me/us. If due to power failure, connectivity failure, circuit breakers, lack of market dept. or any other reason, my/our open trade I not squared off on the same day, you may square off the same on subsequent trading session.
17. I will inform you the change of my/our demographic detail and other detail like Bank, DP etc.
18. For the purpose of providing quality and transparent services to its client, the company may record your conversation while interacting with you.
19. All fines/penalties and charges levied upon you due to my/our acts / deeds or transaction may be recovered by you from my/our account.

(G) LETTER OF AUTHORISATION TO PLEDGE THE SECURITIES WITH CLEARING MEMBER/ CLEARING CORPORATION

I/We are dealing through you as a client registered in NSE/BSE/MCX in Capital Market/ Future & Options/ Currency Derivatives/ Commodity Segments. I/we have pledged/provided you the securities (including shares and commodities both) as margin. I/we hereby confirm and declare that:


- (i) The Securities/Commodities are in existence, owned by me/us and are and shall be free from any charge, lien or encumbrance, whether prior or otherwise
- (ii) The Securities will be subject to the creation of pledge in favour of or for the benefit of Trading Member and further that the Securities over which pledge may be created in future would be in existence and owned by me/us at the time of creation of such pledge and that the Said Securities to be given in future as security to Trading Member would likewise be unencumbered, absolute and disposable property of me/us.
- (iii) I/we authorise you to do all such acts and things, sign such documents and pay and incur any such costs, debts and expenses as may be necessary from time to time.
- (iv) I/ we agree that the securities shall be subject to the first priority and lien in favour of Trading Member to secure, my/ our obligations and that the rights or interests of me/ us with respect to the Said Securities shall be subject and subordinate to the rights, claims and interests of Trading Member in respect of the Said Securities
- (v) You may invoke the pledge without any reference to or permission of me/ us and upon receipt of the Said Securities/Commodities, Trading Member may utilize the proceeds in meeting my/our obligations in such manner as it may deem fit and that such invocation of pledge will be final and irrevocable against me/us.
- (vi) I/we shall not make any claims or demands for refund or any reimbursement in relation to the Said Securities.

(H) 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) at 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 fund once in 30 days or once in 90 days or such other period as allowed by SEBI/Stock Exchange time to time.
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds/Mutual Fund Units towards such obligations and may also retain the funds as calculated in the manner specified by the exchanges.
4. I/We confirm you that I/we will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me/us shall continue and remain valid until it is revoked by me/us anytime in writing.

Sign here : (19) 

Date: _____

(I) ELECTRONIC CONTRACT NOTE (ECN) DECLARATION

To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhas Place, Pitampura-110034

Dear Sir,

I/We a client with Member M/s. **RS Wealth Management Pvt. Ltd. Of NSE, BSE & MCX** Exchange undertake as follows:

- I/We am/our aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourself want the same in the electronic form.
- I/We am aware that the Member has to provide electronic contract note for my/our convenience on my/our 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/our.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My/our email id is as given on KYC. This has been created by me and not by someone else.
- I/we am aware that this declaration form should be in English or in any other language known to me.
- I/we am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am/our aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

* (The email id must be written in Own handwriting of the client.)

Signature of the Client

(20) 

(J) DECLARATION BY THE CLIENT TO ABIDE THE NET OPEN INTEREST POSITION AS PERMISSION IN ANY COMMODITY

Dear Sir,

Subject: My / Our request in commodity forward contracts / commodity derivative on All Exchanges as your client


I/We, the undersigned, have taken cognizance of circular no. MCX/S&I/300/2017 dated August 23, 2017 issued by the Multi Commodity Exchange of India Ltd. (MCX) and SEBI Curcular No. SEBI / HO/CDMRD/DMP/CIR/P/2016 dated September 27, 2016 or any other circulars issued by SEBI/Exchange from time to time on stated matter on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same. I/We hereby undertake that I/we do not trade through any Trading Member other than **RS Wealth Management Pvt. Ltd.** I/We hereby declare that I/we are also trading in Commodities through _____ (name of the Trading Member) having Member ID _____ in MCX under the Client ID _____ and through _____ name of the Trading Member having Member ID _____ in MCX under the Client ID _____

I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by MCX, or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of all. I/We undertake to inform you or keep you informed if any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, take or holds any position in any commodity forward contract/commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circular of MCX/ as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your client on MCX only on the basis of our above assurance and undertaking.

I/We further undertake to bear any liability/penalty/charges levied by MCX for the non compliance of the aforesaid circulars or as modified from time to time.

Yours faithfully

Sign here : (21) 

(K) MOST IMPORTANT TERMS & CONDITIONS (MITC) for non-custodial settled trading accounts)

(As per Circular Ref No: NSE/INSP/60147 Dated: Jan. 05, 2024, Annexure-A)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not
Dear Sir / Madam,
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.

(L) CONSENT FOR TRADING IN COMMODITY OPTION


To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhas Place, Pitampura-110034

Dear Sir / Madam,

Sub: Consent for trading in Commodity Option

1. I/We are registered with you as a client for trading
in commodity derivative.
2. I/We understand that SEBI has allowed trading in commodity options. Exchange are soon likely to launch option
contracts with commodity or commodity derivatives as underlying.
3. I/We have gone through the additional risk disclosure document sent by you and have appraised myself/ourselves with
the risk of trading in commodity options.
4. I/We are interested in trading in commodity options and hereby accord my/our consent to trading in commodity options
with confirmation of having received additional risk disclosure documents disclosing risk of trading in commodity
options.
5. This consent is valid till I/we revoke the same. I/We understand that I/we have right to withdraw the same at any point of
time.

Your Sincerely,

Sign here: (22) 

Note: In case of existing client who are Corporate/ Trust, a resolution from Board of Directors/ Trustees is required clearly stating
that the Corporate/ Trust are authorized to trade in Commodity Option and they intend to trade in Commodity Option on recognized
exchanges

(M) DECLARATION BY KARTA & ALL THE CO-PARCENERS (for HUF only)

To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhas Place, Pitampura-110034

Dear Sir/Madam,

1. Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Securities Trading Account with RS Wealth Management Pvt. Ltd. (Hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Coparceners are given in below table.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the coparceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
3. He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every coparceners of the said joint family, including the share of the minor coparceners, if any.
4. We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
5. The names and dates of the birth of all the present minor & major coparceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.
6. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

List of Members / Coparcener

S. No.	Name of Coparcener/Member	Relationship with Karta	Gender	Whether Coparcener/Member (please specify)	Date of Birth	Signature
1.		KARTA				
2.						
3.						
4.						
5.						
6.						

Signature of Karta with Rubber Stamp

(N) FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

FATCA & CRS DECLARATION (FOR NON-INDIVIDUAL)

Please tick the applicable tax resident declaration -

1. 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 of 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 <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input type="text"/> 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)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="checkbox"/> (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 <i>(that is, a company whose shares are regularly traded on an established securities market)</i> (Refer 2a of Part C)	Yes <input type="checkbox"/> <i>(If yes, please specify any one stock exchange on which the stock is regularly traded)</i> Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company <i>(a company whose shares are regularly traded on an established securities market)</i> (Refer 2b of Part C)	Yes <input type="checkbox"/> <i>(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</i> Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the <input type="checkbox"/> Controlled by a <input type="checkbox"/> Listed Company or <input type="checkbox"/> Listed Company Name of stock exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> 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):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

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 <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____

Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
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

⁵ Attach valid documentary proof like Shareholding pattern duly self-attested by Authorized Signatory / Company Secretary


DECLARATION

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 RS Wealth Management 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).

Name


Designation

(23) 

Sole/First Authorised Signatory

(11) 

Second Authorised Signatory

(11) 

Third Authorised Signatory

Place _____


Date ____ / ____ / ____

*For detail terms & conditions please see Client Copy

(O) THE CLIENT SELF CATEGORY DISCLOSURE IN COMMODITY EXCHANGE

I disclosed of the Open interest and turnover for below mention categories of participants at Commodity Exchange:-

- Farmers/FPOs: - It includes participant such as farmers, farmers' cooperative, Famers Producers Organizations (FPOs) and such entities of like nature.
- Value chain participants (VCPs):- It includes participants such as Processors Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockiest, Cash & Carry participant, Produces SMEs/MSMEs & Wholesales etc., but exclude farmers/FPOs.
- Proprietary trades:- It includes the members of stock exchange trading in their proprietary account.
- Domestic financial institutional investors:- It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives
- Foreign participants:- It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. Which are allowed to trade in commodity derivatives Markets.
- Others: - All others participants which cannot be classified in the above categories.

Sign here: (24) 

(P) STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

To,
RS Wealth Management Pvt. LTD.
606, Pearls Best Heights-II, Plot No. C-9
Netaji Subhash Place, Pitampura-110034

Date _____


I/We had entered into DP BO agreement with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id as per KYC, if such a demand is made in writing on you.


I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,


Signatures

(25) 

First Holder Signature

(12) 

Second Holder Signature

(12) 

Third Holder Signature

Name/s of the Beneficial owner/s Signature/s (all joint holders)

(Q) LETTER OF AUTHORITY TO TRADE

To,

RS WEALTH MANAGEMENT PVT. LTD.

606, PEARLS BEST HEIGHTS-II, PLOT NO. C-9, NETAJI SUBHASH PLACE, PITAMPURA, DELHI-110034

Sub: Authority to trade on my / our behalf.

Dear Sir/Madam,

I hereby authorise Mr/Ms. _____ S/d of _____

having PAN _____, & Mobile No _____ - _____ is my

husband/wife/son/daughter/brother


/sister/parents/other (Please Specify) _____ to trade on my behalf in my trading a/c

No

_____ and to perform all or any of the following acts, deeds and things for and on my /our behalf and in my/our interest.

I/we confirm that the aforementioned Authorised Person is well aware of risks associated with trading.

- 1.To operate the Account on my/our behalf.
- 2.To issue necessary instructions to you, for purchase, sale or transfer of shares and commodities from or to the Account as per Representative own judgment, and to sign necessary documents, wherever required effectuating such instructions of purchase, sale or transfer of securities and commodities from or to the Account.
- 3.To make or cause to make payments to RS WEALTH MANAGEMENT PVT. LTD. whenever necessary, and in accordance with my/our obligations in accordance with the terms and conditions of various agreements executed between me/us and RS WEALTH.
- 4.To duly honour all my/our contractual obligations under various agreements executed between me/us and RS WEALTH including but not limited to the "Member Constituent Agreement" and/or any other undertaking, commitment issued by my/us in favour of RS WEALTH.
- 5.To accept and give valid discharges for acceptance and submission of contract notes, bills, ledger statements, transaction statements and all correspondence on my behalf and report any discrepancy therein to RS WEALTH.
- 6.To receive & accept necessary telephonic calls pertaining to margin &/or trade confirmation or any other call including verification call from RS WEALTH at designated mobile no. & undertake to update this contact detail in writing with RS WEALTH in the event of any such change, taking place at any time in future.
- 7.To sincerely abide by the Statutes, Rules, Regulations and Guidelines prescribed for the purpose and in relation to the operation of the Account.
- 8.I/we hereby agree and undertake that all such acts, deeds and things done by the Representative shall be deemed to be binding upon me/us as the same has been done by me/us only and I/we shall hereby ratify all and such acts, deeds, or things done by Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
- 9.I/we hereby agree and undertake to indemnify and keep RS WEALTH. including its directors, officers and employees indemnified against any loss, claims, liabilities, obligations, damages, deficiencies, actions, suits, or proceedings aroused / accrued or caused to the RS WEALTH for any wrong act, deed or thing done by the representative in any manner whatsoever in exercise of the powers conferred upon him.
- 10.I/we further undertake and agree not to challenge any act, deed or things done by said Representative in any manner.
- 11.I/we hereby agree and acknowledge that this letter of Authority shall be effective and operational until RS WEALTH. received and acknowledged revocation letter at its registered office.

Sign here : (26) 

Authorised Person Signature _____

(R) Consent for sharing Aadhaar Details with SEBI/KRA Agencies.

RS WEALTH MANAGEMENT PVT.LTD.




606, Pearls Best Hights-II, Plot no. C-9, Netaji
Subhash Place, Pitampura, Delhi-110034

I/We understand that RS Wealth Management Pvt. Ltd. is in the business of providing trading services for buying/selling of securities to its clients.

I/We am/are desirous for opening of Trading and Demat account with RS Wealth Management Pvt. Ltd. and hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I am aware of other modes of KYC which are available and I have chosen Aadhaar based method voluntarily. My Aadhaar record can be used by KRA agencies only for the specific purpose validating/ maintaining/ sharing my KYC record and as audit evidence. I will have an option to request for deleting of my Aadhaar record.

I hereby give my consent for receiving information including Central KYC Registry through SMS/Email on the above registered mobile number/email address. I am/we are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Dig locker XML file, along with pass code and as applicable, with SEBI, KRA, CKYC and other Institutions/agencies/Intermediaries with whom I have a business relationship for KYC purposes only.

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	(27) 	(13) 	(13) 

(S) DECLARATION OF UNDERLYING EXPOSURE FOR CURRENCY DERIVATIVES TRADED WITH RS WEALTH MANAGEMENT PVT. LTD.

To
RS WEALTH MANAGEMENT PVT.LTD.

606, Pearls Best Hights-II, Plot no. C-9, Netaji
Subhash Place, Pitampura, Delhi-110034

Dear Sir,

I/We hereby acknowledges and accepts the following terms and conditions pertaining to my/our dealings in exchange traded currency derivatives with RS Wealth Management Pvt. Ltd.:

- I/We hereby confirm adherence to clause 3.4 (i) (a) of the circular number RBI/2023-2024/108 A. P. (DIR Series) Circular No. 13 issued by the Reserve Bank of India (RBI) on January 5, 2024. Furthermore, I/We verify possessing underlying exposure to the currency derivative contracts via RS Wealth Management Pvt. Ltd., and confirm that they are as per the aforementioned RBI directive.
- I/We hereby pledge to adhere to position size within a limit of one hundred million United States Dollars (USD 100,000,000) as mandated by exchanges/RBI. In the event that position surpasses this designated threshold, I/We agree to handle the surplus position through an Authorized Dealer or Custodian, as deemed suitable.
- I/We hereby commit to provide sufficient evidence of the underlying exposure related to my/our currency derivative contracts upon request from RS Wealth Management Pvt. Ltd., the relevant exchanges, or the RBI.
- I/We hereby reimburse RS Wealth Management Pvt. Ltd. and releases it from any liabilities, losses, damages, or costs that may arise if I/We fails to produce the required evidence of underlying exposure as stipulated in point 4 above.
This reimbursement covers any legal actions, claims, demands, or expenses incurred by RS Wealth Management Pvt. Ltd. due to the non-compliance by me/us with these conditions.

I/We have read and agree to these conditions by signing below, and also commits to abide by the provisions delineated herein. Further, I/we have received a copy of relevant RBI guideline in this regard.

Signatures (28)  _____ (14)  _____ (14)  _____
Sole/First Holder Signature Second Holder Signature Third Holder Signature

Demat Debit and Pledge Instruction(DDPI)

Client UCC Code	
Demat/Client-ID	
Date	
Place	

Annexure-A

I/We request to activate the DDPI facility for following purposes:-

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	30 (a) ----- First Authorized Signatory
		(16) ----- Second Authorized signatory
		(16) ----- Third Authorized Signatory
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.	31 (b) ----- First Authorized Signatory
		(17) ----- Second Authorized signatory
		(17) ----- Third Authorized Signatory
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	32 (c) ----- First Authorized Signatory
		(18) ----- Second Authorized signatory
		(18) ----- Third Authorized Signatory
4.	Tendering shares in open offers through Stock Exchange platforms	33 (d) ----- First Authorized Signatory
		(19) ----- Second Authorized signatory
		(19) ----- Third Authorized Signatory

* the same may be Signed or signed physically

* in this regard refer the clause in' Rights and Obligations Document under the sub heading 'Additional Rights and obligations Given on website and in client copy.

* Additional Right and Obligations - The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (POA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute POA or DDPI."

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NACH/ECS/AUTO DEBIT UMRN _____ Date DDMMYYYY _____
 MANDATE INSTRUCTION FORM Sponsor Bank Code _____ Utility Code _____

CREATE / We hereby authorize _____ to debit (tick /) SB/CA/CC/SB-NRE/SB-NRO/Other
 MODIFY
 CANCEL Bank a/c number _____

with Bank _____ Name of customers bank _____ IFSC _____ or **MICRO** _____

an amount of Rupees _____ | T _____

FREQUENCY I**I Mthly I**I Qtly 0 H-Yrly I**I Yrly As & when presented DEBIT TYPE 0 Fixed Amount Maximum Amount

Reference 1 _____ Phone No. _____

Reference 2 _____ 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 _____ YYYY _____

T _____ YYYY _____ Signature Account holder _____
 Signature _____

OF [**] Until Cancelled y. _____ Name as in bank recodes g. _____ Name as in bank recodes g. _____ Name as in bank recodes _____

* 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 instruction 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 authorised the debit.

NACH/ECS/AUTO DEBIT UMRN _____ Date DDMMYYYY _____
 MANDATE INSTRUCTION FORM Sponsor Bank Code _____ Utility Code _____

CREATE / We hereby authorize _____ to debit (tick /) SB/CA/CC/SB-NRE/ SB-NRO /Other
 MODIFY
 CANCEL Bank a/c number _____

with Bank _____ Name of customers bank _____ IFSC _____ or MICRO _____

an amount of Rupees _____ | T _____

FREQUENCY I**I Mthly I**I Qtly 0 H-Yrly I**I Yrly As & when presented DEBIT TYPE 0 Fixed Amount Maximum Amount

Reference 1 _____ Phone No. _____

Reference 2 _____ 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 _____ YYYY _____

T _____ YYYY _____ Signature Account holder _____
 Signature _____

OF [**] Until Cancelled y. _____ Name as in bank recodes g. _____ Name as in bank recodes g. _____ Name as in bank recodes _____

* 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 instruction 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 authorised the debit.

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OUR SERVICES

Equities | Derivatives | Commodities | Currency Derivatives | Depository Services | Insurance | Mutual Fund | IPOs | Online Trading

Awarded As Most Trusted Emerging Stock Broker of INDIA - 2019



RS WEALTH MANAGEMENT PRIVATE LIMITED

NSE/BSE/MCX/DP-CDSL

Regd. Office: 606, PEARLS BEST HEIGHTS-II, PLOT NO. C-9, NETAJI SUBHASH PLACE, PITAMPURA, DELHI-110034

Tel.: 011-40821500 | E-mail : customercare@rswealth.in

CIN No. U67190DL2013PTC251918

In case of any grievances please write to grievance@rswealth.in

SEBI Regn. No.: INZ000009936, IN-DP-434-2019

Exchange Regn.No.:

NSE TM No:-90151, BSE TM No:-6616, MCX TM No:-55800

Depository ID: - 12089600

