



<b>A/C. Opening Date</b>			
<b>Group Code</b>			

# **R. Wadiwala Securities Pvt. Ltd.**

**NSE | BSE | DP : CDSL | MUTUAL FUND**

9/2003-4, "Vishnu Priya", Limda Chowk, Main Road, Surat-395003.

Ph.: 0261-6673500 Tele Fax: 0261-6673537

Email: [info@rwadiwala.com](mailto:info@rwadiwala.com)

Website: [www.rwsec.com](http://www.rwsec.com)

CIN-U67120GJ004PTC044324

**Individual / Non-Individual**

## **Client Registration Kit**

<b>Account Type</b>			
<b>Form Rec. Date</b>		<input type="checkbox"/> <b>Only DP</b>	<input type="checkbox"/> <b>Only Trading</b> <input type="checkbox"/> <b>Both DP &amp; Trading</b>
<b>Dp Int Ref No</b>		<b>UCC Code</b>	
<b>DP Scheme</b>		<b>DP ID</b>	<b>12043100</b>
<b>Rec. Cheque Rs.</b>		<b>Brokerage Slab</b>	
<b>Address Proof</b>	<input type="checkbox"/> <b>Aadhar Card</b>	<b>Common Dec.</b>	<input type="checkbox"/> <b>New</b> <input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>
<b>BSE Reg.</b>	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>	<b>NSE / FNO Reg.</b>	<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b>

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5	Right and Obligations	Document stating the Right and Obligation of stock broker, Sub-broker, clients (including additional right and obligation in case of internet/wireless technology based trading.	-
6	Risk Disclosure Document (RDD)	Document detailing risk associated with dealing in the securities market.	-
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Name of stock Broker/Trading Member/Clearing Member/DP	SEBI Registration No. and Date			CEO Name / Compliance Officer Phone No. & Email ID
	Exchange	SEBI Reg. No.	Date	
<b>R. Wadiwala Securities Pvt. Ltd.</b> 9/2003-4, "Vishnu Priya" Limda Chowk, Main Road, Surat – 395 003. Ph: 0261-6673500 Fax: 6673537 Website: <a href="http://www.rwsec.com">www.rwsec.com</a> BSE Member Id: 3096 NSE Member Id: 12219 DP ID : 12043100	BSE – CM	INZ000187332	16/03/2006	CEO: Nainish J Wadiwala Ph.: 0261 6673500-6673505 Email: <a href="mailto:nainish@rwadiwala.com">nainish@rwadiwala.com</a> Compliance Officer: Nilesh I. Rami Ph.: 0261 6673500 Email: <a href="mailto:compliance@rwadiwala.com">compliance@rwadiwala.com</a>
	BSE – FO		06/04/2011	
	NSE – CM		31/03/2005	
	NSE – SLB			
	NSE – FO		30/03/2005	
	NSE – CDS		27/08/2008	
	MCX' SX -CDS		29/09/2008	
	CDSL		DL-DP-112-2015	

For any grievance/dispute please contact R. Wadiwala Securities Pvt. Ltd. at the above address or email [support@rwadiwala.com](mailto:support@rwadiwala.com) and Phone no.91-261-6673500. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange	Email ID	Phone No.
<b>BSE</b>	<a href="mailto:is@bseindia.com">is@bseindia.com</a>	(022)22728097
<b>NSE</b>	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>	(022)26598190
<b>MCXSX</b>	<a href="mailto:investorcomplaints@mcx-sx.com">investorcomplaints@mcx-sx.com</a>	(022)67318933/9000
<b>CDSL</b>	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>	1800-200-5533

**Instruction for Signature: Cf - client's full signature, Sf - Sub-broker full signature, Wf - Witness full signature**

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



**CDSL VENTURES LIMITED**  
....Exploring New Horizons



**Please fill the form in ENGLISH and in BLOCK letters**

Fields marked \* are mandatory  
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application No. \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC

**KYC Mode\***: Please tick(✓)

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

**1. Identity Details (please see guidelines overleaf)**

**PAN\*** \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

**Name** (same as ID proof) \_\_\_\_\_

**Maiden Name** (if any) \_\_\_\_\_

**Father/Spouse's Name\*** \_\_\_\_\_

**Date of Birth\*** \_\_\_\_\_

**Gender**  Male  Female  Transgender

**Marital Status**  Single  Married

**Nationality**  Indian  Other \_\_\_\_\_

**Residential Status\***  Resident Individual  Non Resident Indian

Please tick(✓)  Foreign National  Person of Indian Origin

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

**Client sign.**  
Passport size photograph and sign across

X

Cross Signature across photograph

**Proof of Identity (POI) submitted for PAN exempted cases (Please tick)**

A — Aadhaar Card XXXX XXXX \_ \_ \_ \_ \_

B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

C — Voter ID Card \_\_\_\_\_

D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

E — NREGA Job Card \_\_\_\_\_

F — NPR \_\_\_\_\_

Z — Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**Occupation Type:**  Service ( Private  Public  Government)  Business  Professional  Housewife

Retired  Farmer  Student  Other (Specify) \_\_\_\_\_

**Income & Other Details (Please tick)**

Up to Rs. 1,00,000  Rs. 1,00,000 to 5,00,000  Rs. 5,00,000 to Rs. 10,00,000  Rs. 10,00,000 to Rs. 25,00,000

Rs. 25,00,000 to Rs. 1,00,00,000  More than Rs. 1,00,00,000. Net worth (If any): \_\_\_\_\_ As on \_\_\_\_\_

Please tick, if applicable:  Politically Exposed Person (PEP)  Related to politically exposed person (RPEP)

**2. Address Details (please see guidelines overleaf)**

**A. Correspondence/Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

**Applicant e-SIGN**

**Applicant Wet Signature**

1

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

**Proof of Identity (POI) submitted for PAN exempted cases (Please tick)**

- A — Aadhaar Card      XXXX XXXX \_\_\_\_ \_
- B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- C — Voter ID Card \_\_\_\_\_
- D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_
- E — NREGA Job Card \_\_\_\_\_
- F — NPR \_\_\_\_\_
- Z — Others \_\_\_\_\_ (any document notified by Central Government)
- Identification Number \_\_\_\_\_

**3. Contact Details (In CAPITAL)**

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

Mobile No.\* \_\_\_\_\_

Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant 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/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered 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/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

**Applicant e-SIGN****Applicant Wet Signature**

2

**5. For Office Use Only****In-Person Verification (IPV) carried out by\*****Intermediary Details\***

IPV Date \_\_\_\_\_

Self certified document copies received (OVD)

True Copies of documents received (Attested)

AMC / Intermediary Name :

Employee Signature and Stamp

Institution Name and Stamp

## R. Wadiwala Securities Pvt. Ltd.

9-2003-4, "Vishnu Priya" Limda Chowk, Main Road, Surat – 395 003

For Individual / Non Individual

### Additional Details for Opening Demat Account

(To be filled by the Depository Participant)

Application No.		Date	D	D	M	M	Y	Y	Y	Y
DP ID	1 2 0 4 3 1 0 0	Client ID	0	0						

#### Type of Account (Please tick whichever is applicable)

Status	Sub – Status										
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/V (MANTRA)					<input type="checkbox"/> Individual – Director <input type="checkbox"/> Individual HUF/ AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify) _____					
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts					<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non- Repatriable Promoter <input type="checkbox"/> Others (Specify) _____					
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National – Depository Receipts					<input type="checkbox"/> Others (Specify) _____					
Non Individual Status							Sub – Status				
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FII <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____							<b>To be filled by the DP</b>				
SEBI Registration No. (If Applicable)						SEBI Registration Date					
RBI Registration No. (If Applicable)						RBI Registration Date					
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____										

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/our name as per following details: **Holders Details**

Sole/ First Holder's Name		PAN													
Second Holder's Name		PAN													
Third Holder's Name		PAN													

Name*	
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\* 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 Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

## Additional Details for Opening Demat Account

### Details of Guardian (in case the account holder is minor)

Guardian's Name		PAN	
Relationship with Applicant			

I/We instruct the DP to receive each and every credit in my / our account (If not Marked, the default option would be 'yes')	[Automatic Credit] <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
I/We would like to instruct the DP to accept all the pledge instruction in my/our account without any other further Instruction from my/our end (If not marked the default option would be 'No')	<input checked="" 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 checked="" type="checkbox"/> Monthly			
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____ (If not marked, the default option would be 'yes')	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to share the email ID with the RTA	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
I / We would like to receive the annual report (Tick the application 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			

I / We wish to receive dividend/interest directly in to My 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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<b>SMS Alert Facility</b> Refer to Terms & Conditions Given as <b>Annexure - 2.4</b>	MOBILE No. +91 _____ [ (Mandatory, If you are giving Power of Attorney (POA) ] ( if POA is not granted & you do not wish to avail of this facility, cancel this option)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						
<b>Transaction Using Secured Texting Facility (TRUST)</b> Refer to Terms and Conditions <b>Annexure - 2.6</b>	I wish to avail the Trust facility using the mobile number registered for sms alert facility. I have read and understood the terms and conditions prescribed by cdsi for the same I/We wish to register the following clearing member IDs under my/our below mentioned Bo ID register for Trust.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No						
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">Stock exchange Name/ID</td> <td style="width: 33%;">Clearing Member Name</td> <td style="width: 33%;">Clearing Member ID (Optional)</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> </tr> </table>		Stock exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)			
	Stock exchange Name/ID		Clearing Member Name	Clearing Member ID (Optional)				
<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No						

## Additional Details for Opening Trading Account

For individual / Non Individual

### Depository ACCOUNT (S) DETAILS

No.	Depository Participant Name	DP ID No.	DP Account No.	Depository Name
1	R. Wadiwala Securities Pvt. Ltd.	12043100		CDSL
2				<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL

### TRADING PREFERENCES

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

Segment	Cash	Derivatives	Currency Derivatives	Mutual Fund
BSE	(3)			(4)
NSE	(5)	(6)	(7)	(8)
MCX-SX				
<b>SLB Segment</b>				
BSE	(9)		NSE	(10)

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

### PAST ACTIONS

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

N/A

### DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Name		BSE SEBI Reg. No. _____
Regd. Off. Address		NSE SEBI Reg. No. _____
		MCX-SX SEBI Reg. No. _____
Signature		Tel. No. AP _____
		Fax No. AP _____
		Website AP _____

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker	Name of Sub - Broker, If any	Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub-broker			





## Nomination Details for Opening Demat and/or Trading Account

**R. Wadiwala Securities Pvt. Ltd.**

9-2003/4, "Vishnu Priya", Limda Chowk, Main Road, Surat – 395003.

Date		DP & Client ID	1	2	0	4	3	1	0	0									
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/We wish to make nomination and do hereby nominate the following person(s) who shall receive all the assets held in my/our account in the event of my/our death. Registration No: \_\_\_\_\_

Nomination Details	Nominee 1	Nominee 2	Nominee 3
*First Name: Middle Name: *Last Name:	_____ _____ _____	_____ _____ _____	_____ _____ _____
*Address/City/Pin	_____	_____	_____
*State & Country	_____	_____	_____
Telephone/Mobile No.	_____	_____	_____
Email ID	_____	_____	_____
PAN No.	_____	_____	_____
*Relationship with BO	_____	_____	_____
Date of Birth	_____	_____	_____
Share of each Nominee(s). (If not Equally, please specify %)	%	%	%
Nominee Identification details. (Please tick any one and provide details of same)	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID
<b>Name of the guardian of nominee (if nominee is a minor)</b>			
*First Name: Middle Name: *Last Name:	_____ _____ _____	_____ _____ _____	_____ _____ _____
*Address/City/Pin of the guardian of Nominee:	_____	_____	_____
*State & Country	_____	_____	_____
Telephone/Mobile No.	_____	_____	_____
Email ID	_____	_____	_____
*Relationship of guardian with nominee	_____	_____	_____
Guardian Identification details. (Please tick any one and provide details of same)	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> PAN <input type="checkbox"/> UID <input type="checkbox"/> SB Bank A/c No. <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Demat A/c ID

Note: Any odd lot after division shall be transferred to the first nominee in the form .


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

**Declaration form for opting out nomination**

To,  
**R. Wadiwala Securities Pvt. Ltd.**  
 9-2003/4, "Vishnu Priya",  
 Limda Chowk, Main Road,  
 Surat – 395003.

<b>Date</b>		<b>DP &amp; Client ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>4</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>0</b>							
<b>Sole / First Holder Name</b>																	
<b>Second Holder Name</b>																	
<b>Third Holder Name</b>																	

I/We hereby confirm that I/We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by court or other such competent authority, based on the value of assets held in the trading / demat account.

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

**SCHEDULE OF CHARGES (CDSL) DP ID: 12043100**


**[W.e.f. 01 Jan, 2020]**

<b>Charge Head</b>	<b>Account with POA [POA format]</b>
Stamp Charges	Rs. 300/-
AMC	<input type="checkbox"/> Rs. 350/- [ E-Mail ID is mandatory and No Physical Statements] <input type="checkbox"/> Rs. 750/- [ Both Physical and Electronic Statements] <input type="checkbox"/> Lifetime AMC free with one time pay of Rs. 1999/- [ E-Mail ID is mandatory and No Physical Statements]
Custody Charges	Nil
Transaction Charges Buy	Nil
Transaction Charges Sell (Through R. Wadiwala Securities Pvt. Ltd.)	Rs. 12/- per Transaction
Failed Instruction	Nil
Pledge creation / Confirmation / Closure/Invocation	Rs. 25/- per Transaction
DEMAT	Rs. 25/- per certificate (max Rs. 750/-) + Rs. 100/- processing charges (Fix)
Demat Rejections	Rs. 20/- per rejection + Rs. 25/- courier
Remat Charges	Rs. 15/- per request or 0.02% whichever is higher
Delivery Instruction Book	Rs. 20/-
Sale – Not Through R. Wadiwala Securities / Off-market transfer	0.03% of the value of transaction. (Min. Rs. 20/-)
Freeze/De-freeze	Rs. 25/-
Stock Lending & Borrowing	0.02% of the value of the transaction (Min Rs. 100/-)
Advance	NIL
Special Report (Per annum)	NIL

Note:-

1. R. Wadiwala Securities Pvt. Ltd. Reserves the right to revise the tariff by providing 30 days notice & this will be binding on all.
2. Transaction statement: Will be sent as per CDSL requirements at no extra cost. Every extra Statement shall be charged at Rs. 10 If the number of pages exceeds 10 then every additional page will be charged at the rate of Rs. 3 per page.
3. In case of delays in the payment of charges the Demat account will be frozen for all operations till such time all dues are cleared subject to 30 days notice from the payment due date.
4. All the instructions for transfer must be received in physical form from the client up to 4.00 pm on "T+1" for pay in of securities Late instructions would be accepted at the account holder's sole risk and responsibility.
5. Charges are subject to be revision at the company's sole discretion and as per revision in CDSL charges and are subject to 30 days notice from the date of applicability.
6. All payments to be made in the name of "R. Wadiwala Securities Pvt. Ltd." By a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.
7. GST will as per the prevailing tax rules of Central Govt.

We agreed to pay the charges as set out herein above subject to any charges therein from time to time.

<b>Signatures</b>	<b>First/Sole Holder or Guardian (in case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
 12			

## TRADING TARIFF SHEET

### CASH SEGMENT

Rates	Slab No	Delivery		Intraday 1 <sup>st</sup> side		Intraday 2 <sup>nd</sup> side	
		MIN.	%AGE	MIN.	%AGE	MIN.	%AGE
General	Default	0.03	0.40	0.02	0.04	0.02	0.04
Special							

### EQUITY DERIVATIVES SEGMENT

Rates	Slab No	Future Intraday 1 <sup>st</sup> side		Future Intraday 2 <sup>nd</sup> side		Options
		MIN.	%AGE	MIN.	%AGE	Per Lot (Rs.)
General	Default	0.02	0.04	0.02	0.04	50
Special						

### CURRENCY DERIVATIVES SEGMENT

Rates	Slab No	Future Intraday 1 <sup>st</sup> side		Future Intraday 2 <sup>nd</sup> side		Options
		MIN.	%AGE	MIN.	%AGE	Per Lot (Rs.)
General	Default	0.03	0.03	0.03	0.03	15
Special						

### SLB SEGMENT


Rates	Slab No	Borrowing side	Lending side	Any day
General	Default	25 %	25 %	25 %

- The above charges exclusive of transaction charges, stamp duty, Securities Transaction Tax, and Service Tax which will be charged extra.
- The General rates are mentioned here shall be applied unless special rates as may be agreed by sub-broker, Authorized Person, Introducer and Client and the same is mentioned here.

### OTHER CHARGES

	Cash segment		EQ derivatives segment		Currency segment		Applied on
	Delivery	Intraday	Futures	Options	Futures	Options	
SECURITIES TRX CHARGES (STT) (%)	0.1	0.025	0.01	0.05	-	-	TURNOVER
SEBI TO CHARGES (%)	0.00005	0.00005	0.00005	0.00005	0.00005	0.00005	TURNOVER
STAMP CHARGES (%)	0.015	0.003	0.002	0.002	0.002	0.002	TURNOVER
EXCH. TRANSACTION CHARGES (%)	0.00345	0.00345	0.002	0.053	0.002	0.053	TURNOVER
CM CHARGES (%)	-	-	0.00175	0.05	0.001	0.05	TURNOVER
DEMAT CHARGES	12 RS.	-	-	-	-	-	DELIVERY/SCRIPT
GST (%)	18		18		18		***

- Above rate are subject to change as per prevailing rates from time to time.
- STT on intraday trades, Derivatives segment is levied on sell side only.
- For Derivatives segment – options, turnover is calculated on premium only.
- Demat charges is levied on delivery based selling trades only.
- Exch. transaction charges in BSE segment for XC/XT/XD/Z/X group is 10000/Cr.**
- In option segment purchase side STT is: 0.125% (settle price on exercise), in sell side STT is: 0.017% (premium).**
- \*\*\* GST applicable on Brokerage, CM Charges, Exch. Transaction Charges & Demat Charges.**

Signatures	Account Holder
	

## POLICIES AND PROCEDURES RELATED TO RISK MANAGEMENT & CONTROLS

### A) Refusal of Orders for Penny Stocks –

**R. Wadiwala Securities Pvt. Ltd.** (hereinafter called 'Member-NSE-BSE') does not encourage trading in Penny stocks or securities falling in T2T/ Z group of BSE or illiquid as defined by exchanges and Member-NSE-BSE reserves its right to refuse orders in such securities from the clients desiring to deal in such shares, stocks, securities. Penny is stocks that are quoting below Rs. 10.

Under exceptional circumstances and considering merits on case-to-case basis, trading in penny stocks /T2T/Z category would be allowed to clients on delivery basis subject to stringent verifications of the client holdings, intentions and bonafide reasons given by the intending clients.

Orders/Traders/transactions will have to be executed through RO or HO by the Clients. However if observed that client/s is/are indulging in trading activities only in penny stocks or securities falling in T2T or Z group of BSE or carrying on any insider trading activity the client account maybe immediately suspended without any reasons being given to the client/s.

Further client's trade volumes vis-a-vis market volumes will be considered and 15 % of market volumes will be allowed or such market volume as decided by the Member from time to time, subject to due diligence of the RMS and Compliance department. Further trading limits will be allowed subject to the client making margin payments, history of the client, trading pattern, intention of doing the trades. The said additional trading limits may not be allowed on a regular basis to the client/s.

### B) Setting Up to Client Exposure Limits:

Client's exposures will be based on VaR of the scrip or 20% whichever is higher and the credit balance in ledgers + stocks lying in beneficiary account + margins (securities and cash) and demat holding. However the member may at its own discretion allow additional or lower exposure as per credit balance in client account/cash margin /collaterals deposited by the clients/client's track record or market situation. For trading on Derivatives segment, for futures segment flat initial margin of Rs. 25000.00 (cash or securities) and for only options segment flat initial margin of Rs. 10000.00 . The initial margins can be also provided by the client by way of authorizing the member in writing to utilize the available credit balance or securities held by the member in its beneficiary account in his account on any of the cash segments of the exchanges. However for all additional exposures, client will have to furnish additional margins as applicable.

Member BSE-NSE has a system of analyzing risk for each client on intra-day basis and end of the day basis. Once a client falls into risky category, Member BSE-NSE retains right to close out all his outstanding positions.

Further the client agrees not to take any fresh positions in securities under ban period as and when put by the exchanges. The client also agrees to bear the penalty if any charged by the exchange on such trading.

### C) Imposition of Penalty / Delayed Payment Charges By Either Party:

Member will apply Delay Pay-in Charges/ late payment charges at the rate of 24 % p.a. on all outstanding obligations subject to settlement schedules on a daily basis. Member will not pay interest to the client only in case of delay in payment from members end. The client agrees that the he will not be liable to claim any interest on credit balance in his account.

### D) The Right to Sell Client's Securities or Close Client's Position:

In case any particular Client has failed to make payment on due date then the Company will sell that particular client's securities or close that particular client's position, without giving notice to the client on account of non-payment of dues.

### E) Internal Netting:

Pay-In of securities to the exchanges is to be made on net basis, many a times one client is unable to make pay-In of security on time. However, because of the Buy position of other clients that trade in netted out and hence is not reported for auction to the exchange. In such cases the broker will have the right to buy the relevant security from the market on pay-In day or subsequent day without intimating the client for the same.

**F) Restrictions or Regulations on Dealings of Clients:**

The Member and client shall mutually decide, from time to time, the volume of business, which the credit shall be allowed to transact. However the Member shall have absolute discretion of reducing / restricting or zeroing the client without any prior intimation/notice to the client interalia, in particular F&O segment having regards to:

- i) Volatility in the market/market segments of respective stock exchanges
- ii) In view of impending price sensitive announcements by the Exchanges/listed Companies
- iii) Any restrictions in relation to volume of trading / outstanding business or margins stipulated by stock Exchanges
- iv) Political/financial instability in the country or otherwise
- v) Presence of any other price sensitive factors in the economy
- vi) Failure by the client to maintain the applicable collaterals. Margins with the member as per the stock Exchange Byelaws, Rules and Regulations and Circulars and Guidelines of SEBI
- vii) Delays by the client in meeting its obligations / dues relating to the business / dealings done by the client under this Member Client Agreements (mandatory and voluntary clauses)
- viii) Observing /discovery any abnormal behavior / action / deed / trading pattern of the client's dealing with the member for ego cheque bouncing, non fulfillment of sale obligation, any regulatory action taken by any of the regulators, ban of the client by SEBI, etc.
- ix) In shares of a company where the merchant banking department is doing some due diligence or managing a assignment for the company.
- x) In scripts which are re,-listed and where the circuit filters are not applicable on the day of relisting.
- xi) One share orders will be not allowed except for high value scripts after considering the client history and trading pattern.

**G) De-Registering A Client:**

The Member will de-register a client without any prior intimate / notice, in addition to the terminate clause of the client member agreement, with regards to:

- a. The client being declared a defaulter by any of the regulatory bodies of the country or under any law being in force ;
- b. In the event of member becoming aware of any proceedings being initiated against the client by any of the regulatory bodies of the country or under any law being in force or the client being involved in any criminal proceedings or any illegal business or the member becoming aware of the client's past offenses which are illegal or prohibited by the regulatory bodies of the country or under any law being in force
- c. The death of the client;
- d. The depository account with member is closed and no alternative depository account details are Provided;
- e. The client makes a voluntary written request to de-register itself/himself;
- f. In the event of member becoming aware of client defaulting in meeting its obligations to the member
- g. On the specific written directions of any statutory/legal authority /Regulatory Authority.

**H) Temporarily Suspending or closing a client's account** at the client's request A client temporarily get the account suspended or closed it permanently after making appropriate request. Such request forms are available with the account-opening department.

**I) Treatment of Inactive Accounts**

The Clients who are inactive for the period of six months will be locked for further trading in order to avoid erroneous punching of order such customers can get their accounts activated by orally requesting their relationship manager or sub-broker.

I have read and understand the above policy for RMS and Controls of the Member and state that I will strictly abide by the conditions laid in this policy.

**Terms and Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits] Annexure 2.4**

**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](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

**Fees:**

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



**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

BO Id: 

1	2	0	4	3	1	0	0		0	0						
---	---	---	---	---	---	---	---	--	---	---	--	--	--	--	--	--

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

Sole / First Holder’s Name \_\_\_\_\_

Second Holder’s Name \_\_\_\_\_

Third Holder’s Name \_\_\_\_\_

Mobile Number on which Messages are to be sent 

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

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

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

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

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

Common Mobile no / Email ID for Demat and Trading accounts & Authorization for operating trading account.

(Ref: SEBI circular no. CIR/MIRSD/15/2011 dated August 02, 2011)

I request you to enroll me for the following facility offered by the stock exchange pursuant to above referred SEBI circular

SMS facility on mobile no provided in my KYC

1. Mobile No	
2. Mobile No. belongs to	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Child

Email facility on mobile no provided in my KYC

1. Email ID	
2. Email ID belongs to	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Parents <input type="checkbox"/> Dependent Child

### Note:

Individual client id invariably required to provide his own mobile no except in case of family member where the following relationship exist dependent child or dependent parents or spouse

Non Individual client shall provide the mobile/email details of the person authorized to receive such communication and as provide in the KYC.

Client may please note that Mobile No. of Trading Member (TM) / employees of TM / sub-broker / Authorized Person are not permitted for receiving the SMS/Email communication from exchanges.

Client may note that the circular is available for download on the exchange's website.

### Authorization for operating trading account

Select anyone

Each one of us are authorized to operate trading account for all the family members

OR

We, all the family members, authorize \_\_\_\_\_ to operate trading account on behalf of all the family members.

Signatures	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
15			

**MANDATORY & NON-MANDATORY DOCUMENT AND DECLARATION FOR OPENING TRADING  
AND DEMAT ACCOUNT**

From, Date: \_\_\_\_\_

First Holder Name : \_\_\_\_\_

Second Holder Name: \_\_\_\_\_

Third Holder Name : \_\_\_\_\_

**To,**  
R. Wadiwala Securities Pvt. Ltd.  
9/2003-4, Limda Chowk,  
Main Road, Surat - 395003.

**Dear Sir,**

1. I/We am/are desirous of opening the trading and demat account with R Wadiwala Securities Pvt. Ltd. In the process of executing client registration documents relating to opening of trading and demat account.
2. I/We have furnished all the details required in the Account opening form as per SEBI/Exchange/DP requirements. I/We confirm having read/been explained and understood the contents of mandatory and non-mandatory documents which are provided to me/us. I/We agree that the Mandatory and Non-Mandatory document
3. I/We Understand and agree that any amendment/modifications as required by the Exchanges/DP and/ or Regulators will be applicable to me/us at all point of time and I/We understand that these changes will intimated to me/us.
4. I/We understand that Mandatory and Non – Mandatory document is in accordance of the exchanges and/ or SEBI/DP requirements applicable for opening Trading and Demat Account.
5. 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 agree and undertake to inform you of any change(S) 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.
6. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and tariff sheet.
7. I/We further confirm having read and understood the contents of 'Right and Obligation of Beneficial owner & Depository Participant as prescribe by SEBI & Depository', 'Right and Obligation of Stock Broker, Sub -broker and Clients as prescribe by SEBI and Stock Exchange', 'Risk Disclosure Documents', 'Guidance Note' and 'Policies and Procedures'. 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 the Stock broker's designated website – [www.rwsec.com](http://www.rwsec.com)
8. I/We have received and read the copy of 'Right and Obligation of Beneficial owner & Depository Participant as prescribe by SEBI & Depository', 'Right and Obligation of Stock Broker, Sub -broker and Clients as prescribe by SEBI and Stock Exchange', 'Risk Disclosure Documents', 'Guidance Note', 'Policies and Procedures' and agree to abide by and be bound by the same by the Bye Laws as are in force from time to time.

Client ID: 12043100

UCC Code: \_\_\_\_\_

Signatures	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
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**SUPPLEMENTARY KNOW YOUR CLIENT (KYC), FATCA & CRS - SELF CERTIFICATION FORM FOR INDIVIDUALS**

Mandatory for all Applicant(s) including Joint-holder(s), Guardian (if applicable) and Power of Attorney (if any)  
 [Please consult your professional tax advisor on your tax residency and related FATCA & CRS guidance]

**A. FATCA & CRS INFORMATION (SELF CERTIFICATION)****SOLE /FIRST HOLDER DETAILS**

PAN	
Name	
Type of address given at KRA KYC	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential / Business <input type="checkbox"/> Registered Office
Phone No	
Place of birth	
Date of Birth	
Country of birth	INDIA
Nationality	Indian

Is the applicant/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India?    Yes    No  
 If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S No.	Country of Tax Residency #	Tax Payer Identification No.	Identification Type [TIN or Other, Pls specify]
1			
2			
3			

#To also include USA, where the individual is a citizen/ green card holder of USA.

^In case Tax Identification Number is not available, kindly provide its functional equivalent.

**SECOND HOLDER DETAILS**

PAN	
Name	
Type of address given at KRA KYC	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Residential / Business <input type="checkbox"/> Registered Office
Phone No	
Place of birth	
Date of Birth	
Country of birth	INDIA
Nationality	Indian

Is the applicant/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India?    Yes    No  
 If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

S No.	Country of Tax Residency #	Tax Payer Identification No.	Identification Type [TIN or Other, Pls specify]
1			
2			
3			

#To also include USA, where the individual is a citizen/ green card holder of USA.


^In case Tax Identification Number is not available, kindly provide its functional equivalent.

THIRD HOLDER DETAILS			
PAN			
Name			
Type of address given at KRA KYC	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Residential / Business <input type="checkbox"/> Registered Office
Phone No			
Place of birth			
Date of Birth			
Country of birth	INDIA		
Nationality	Indian		
Is the applicant/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? Yes No			
If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.			
S No.	Country of Tax Residency #	Tax Payer Identification No.	Identification Type [TIN or Other, Pls specify]
1			
2			
3			
#To also include USA, where the individual is a citizen/ green card holder of USA.			
^In case Tax Identification Number is not available, kindly provide its functional equivalent.			

B. DECLARATION
<p>I have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA &amp; CRS Instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/ am aware that I may liable for it. I hereby authorize you [RTA/Fund/AMC] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same. Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update &amp; for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities. I/We authorize Fund/AMC/RTA to provide relevant information to upstrea m payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.</p>

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

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

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

## Instructions to the Applicants (BOs) for Account Opening

1. Signature can be in English or Hindi or any of the other languages contained in the 8<sup>th</sup> Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her official seal.
2. Signatures should be preferably in black ink.
3. Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
4. In case of additional signatures (for accounts other than individuals) should be attached to the account opening form.
5. In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
6. All correspondence / queries shall be addressed to the first / sole applicant.
7. Strike off whichever option, in the account opening form, is not applicable

### OPTION FORM FOR ISSUE OF DIS BOOKLET

<b>DP ID</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>4</b>	<b>3</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>Client ID</b>								
Name of the Sole /First Holder																	
Name of Second Holder																	
Name of Third Holder																	

To,  
 R.WADIWALA SECURITIES PVT LTD.  
 9/2003-4, 'Vishnu Priya',  
 Limda Chowk, Main Road,  
 Surat – 395003.

Dear Sir / Madam,  
 I / We hereby state that:

**[Select one of the options given below]**

Option 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account though I/ we have issued a Power of Attorney (POA) / executed PMS agreement in favor of /with \_\_\_\_\_ (Name of attorney/Clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trade [settlement related transaction] effected through such gearing Member / by PMS Manager.

Yours faithfully,

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

OR

Option 2:

I/We do not require the Delivery Instruction Slip(DIS) for the time being, since I/We have issued a POA/Executed PMS agreement in favor of /with \_\_\_\_\_ (Name of attorney/Clearing Member/PMS Manager) for executing delivery instructions for setting stock exchange trades [settlement related transaction] effected through such Clearing Member/by PMS Manager. However, the Delivery Instruction Slip(DIS) booklet should be issued to me/us on my/our request at any later date

Yours faithfully,

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Signatures  <div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">18</div>			

## Voluntary

To,  
**R Wadiwala Securities Pvt. Ltd.**  
 9/2003-4, 'Vishnu Priya', Limda Chowk,  
 Main Road, Surat – 395003.

**Date:** \_\_\_\_\_  
 Client ID: 12043100  
 UCC Code: \_\_\_\_\_

Dear Sir,

**Sub: Consent Letter to Issue Contract notes, DP Transactions statement and other statements in Digital Form.**

I/We hereby consent to receive the contract note / trade confirmations of the trades executed by me, bills and account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signatures as specified in the Information Technology Act 2000 and the rules made there under, to any of my below mentioned email ids. I /We confirm that the Physical Contract Notes may not be issued to me / us as I am / we are willing to receive the same in Electronic / Digital mode. I /We hereby also consent to receive

- [1] **Security Transaction Tax (SIT) Statement**
- [2] **Statement of Securities / Funds & Statement of DP Holding**
- [3] **Financial Statement & Retention Statement**
- [4] **Daily Margin / Collateral Statement** and other statutory / non-statutory documents in electronic / digital mode as per BSE/NSE/SEBI guideline.

I/We further hereby agree that the member shall fulfill the legal obligation, if the above documents are sent electronically to anyone of the below e-mail ids. I/We agree that the member will not be responsible for non-receipt of documents sent via electronic delivery due to change in email address / correspondence address as mentioned aforesaid. I / We also agree that the member shall not take cognizance of out-of office/out-of station auto replies and I / We shall be deemed to have received such electronic mails. The mandate is subject to terms and conditions mentioned herein below:

**Terms and conditions for issuance of contract notes in digital form:**

1. Digital contract notes, DP Transactions statement and other statements in the format as may be prescribed by the Exchange from time to time will be mailed to the mail address provided to us.
2. Digital contact Notes, DP Transactions statement and other statements will also be available at our website backoffice.rwadiwala.com
3. I/We understand to check the contract notes, DP Transactions statement and other statements and bring the discrepancies to your notice within 24 hours of such issuance of contract notes, DP Transactions statement and other statements . My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time.
4. Clients can view the Digital contract notes, DP Transactions statement and other statements using the username & password through the above website apart from the contract notes, DP Transactions statement and other statements sent to the client through mail.
5. The digital contact notes, DP Transactions statement and other statements will be archived at an interval of 7 days. If the client intends to view the digital contract note for a period prior to 7 days client may request for the same in writing. We may charge certain amount for the same.
6. In case of any failure in system or errors in digital contract notes , DP Transactions statement and other statements, contract notes, DP Transactions statement and other statements will be issued in physical form, which shall be binding on the client.
7. I/We confirm that, "non-receipt" of bounced mail notification by the member shall amount to delivery of the contract note, DP Transactions statement and other statements at the email-id of the client.
8. The contract notes, DP Transactions statement and other statements will be issued in digital form in compliance with the guidelines issued by SEBI, Exchanges & DP from time to time.
9. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
10. Any change in terms and conditions shall be intimated from time to time.
11. Any change in my/our email ID shall be immediately intimated to Name of TM & DP through physical letter separately. For Internet clients, change request in email ID can be made through secured access by way of client specific user Id and password.

**Client E-mail ID:** \_\_\_\_\_

This instruction is several to all parties mentioned above.

Signatures	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">19</div>			

## Voluntary

### Declaration to Continue availing the facility of regular demat account

To,  
 R.WADIWALA SECURITIES PVT LTD.  
 9/2003-4, 'Vishnu Priya',  
 Limda Chowk, Main Road,  
 Surat - 395003.

**Sub: Declaration to continue availing the facility of regular Demat account and not to opt for BSDA facility.**

Dear Sir,

I/We have read and understood the regulatory (SEBI) guidelines applicable for availing facilities in a Basic Services Demat Account.

I/We specifically opt to continue availing the facility of a regular demat account and I/we do not want to get BSDA facility.

I/We understand that by opting to avail the facility of regular demat account, I will be entitled to receive all such benefits that are available to regular demat account holders which are not provided in Basic Demat Account.

I/We understand that by opting to avail the facility of regular demat account, regular charges / AMC can be applied in my/Our demat account.

BO ID	1	2	0	4	3	1	0	0									
-------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

Yours Faithfully

Signatures	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">20</div>			

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### Acknowledgement Receipt

Received nomination form from:

Application No:

DP ID	1	2	0	4	3	1	0	0	Client ID												
Name																					
Address																					
Nomination in favor of										Registration on											
No Nomination										<input type="checkbox"/> Does not wish to nominate				Registered on							

## Voluntary

### Client who does not want to execute voluntary clauses can cancel the same

To, Date: \_\_\_\_\_

**R Wadiwala Securities Pvt. Ltd.**

9/2003-4, 'Vishnu Priya', Limda Chowk,  
Main Road, Surat – 395003.

UCC Code: \_\_\_\_\_

#### Sub: - Running Account Authorization

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future 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 retain securities with you for 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 to transfer the same to my/our account.
3. **I/We request you to settle my fund and securities account once in every calendar Quarter or Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.**
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. The broker shall send a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. The statement shall also explain the retention of funds/securities and the details of the pledge, if any.
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 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. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
7. I/We confirm you that I can revoke the above mentioned authority anytime

Signatures <div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; margin: 0 auto; display: flex; align-items: center; justify-content: center;">21</div>	<b>Account Holder</b>

(Signed by the client only and not by any authorized person on his behalf or any holder of the Power of Attorney).

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#### Acknowledgement Receipt

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening Application Form from:

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



## Demat Debit and Pledge Instruction (DDPI)

<b>UCC Code</b>	R	<b>DP ID</b>	12043100	<b>Date</b>	
<b>1<sup>ST</sup> Holder</b>				<b>PAN</b>	
<b>2<sup>nd</sup> Holder</b>				<b>PAN</b>	
<b>3<sup>rd</sup> Holder</b>				<b>PAN</b>	

I executing the Demat Debit and pledge instruction in favour of R. Wadiwala Securities Pvt. Ltd. authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose

No.	Purpose		
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.		
	Signature of 1 <sup>st</sup> Holder	Signature of 2 <sup>nd</sup> Holder	Signature of 3 <sup>rd</sup> Holder
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.		
	Signature of 1st Holder	Signature of 2 <sup>nd</sup> Holder	Signature of 3 <sup>rd</sup> Holder
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms.		
	Signature of 1st Holder	Signature of 2 <sup>nd</sup> Holder	Signature of 3 <sup>rd</sup> Holder
4	Tendering shares in open offers through Stock Exchange platforms.		
	Signature of 1st Holder	Signature of 2 <sup>nd</sup> Holder	Signature of 3 <sup>rd</sup> Holder

**Annexure I**

The particulars of dematerialized securities account(s) mentioned in Annexure I may be added/appended/alterd according to the future business requirements and with the mutual written consent.

<b>Purpose of Account</b>	<b>NSDL\CDSL</b>	<b>DP ID</b>	<b>DP Name</b>	<b>CM BP ID</b>	<b>Client ID</b>
BSE CM Principal	CDSL	R WADIWALA	12043100		00014529
BSE CM Early Pay In	CDSL	R WADIWALA	11000011		00015400
BSE CM Pool A/c	NSDL	HDFC	IN300126	IN630963	11205006
NSE CM Pool A/c	CDSL	R WADIWALA	12043100		00013485
NSE CM Early Pay In	CDSL	R WADIWALA	11000011		00016852
NSE CM Pool A/c	NSDL	HDFC	IN300126	IN512727	11190472
NSE SLB Pool A/c	CDSL	R WADIWALA	12043100		00159939
Client Margin Pledge A/c	CDSL	R WADIWALA	12043100		00265407
MTF Pledge A/c	CDSL	R WADIWALA	12043100		00266639

Note: This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. SEBI/HO/MIRSD/DoP/CIR/2022/44 dated April 04 2022).

**We Accept, R. WADIWALA SECURITIES PVT. LTD.  
9/2003-4, Vishnu Priya,  
Limda Chowk, Main Road.  
Surat 395003**

**R. Wadiwala Securities Pvt. Ltd.**

**Authorized Signatory**

**Check list for Individual**

**Signature Details**

For only DP A/c	Signature No : 1, 2, 11, 12, 14, 15, 16, 17, 18, 19, 20, 22, 23
For only Trading A/c	Signature No : 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 13, 15, 16, 17, 19, 21
For DP & Trading both	Signature No : ALL

**Require Documents : Self Attested On all documents**

Other Document	Address proof (Any one)
<input checked="" type="checkbox"/> 1 Passport size photo <input checked="" type="checkbox"/> 1 Copy of PAN Card <input checked="" type="checkbox"/> 1 Bank Details (Cancel chq. if Name printed on chq.	<input checked="" type="checkbox"/> Aadhaar Card (UID) <input type="checkbox"/> Driving License <input type="checkbox"/> Passport <input type="checkbox"/> Voter ID Card

**FOR OFFICE USE ONLY**

**Stamping Details**

In-person verification	On KYC / CKYC Form & PAN Card of all holders
Verify against original	On All Documents of all holders

**Remark**


**Phone Verification**

Date	Name of Employee	Time	Signature
/ /		: AM/PM	

**Office Declaration**

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 ( ), 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', T ariff Sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

\_\_\_\_\_  
Signature of the Authorized Signatory

\_\_\_\_\_  
Date

\_\_\_\_\_  
Seal/Stamp of the stock broker

# **R. Wadiwala Securities Pvt. Ltd.**

## **Branch Offices**

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### **-: PARLE POINT BRANCH :-**

*Dalal Mansion, Beside Jain Temple,  
Near Taj Gateway,  
Parle Point, Surat - 395007.  
Ph.:0261 - 4014997/98*

### **-: RING ROAD BRANCE :-**

*532, World Trade Centre,  
Ring Road,  
Surat - 395002  
Ph.:0261 - 2364143*

### **-: RANDEK BRANCH :-**

*L-16, Shreenathji Complex,  
Ramnagar Char Rasta,  
Rander Road, SURAT.  
Ph.:0261 - 2770888*

### **-: SILVASSA BRANCH :-**

*203, Yogi Complex,  
Near Fire Station, Amla,  
Silvassa, D. N. & H. - 396230  
Co. : 98241 86764*

## **50 + LOCATIONS**

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### **Corporate Office :**

**9/2003-4, "Vishnu Priya", Limda Chowk, Main Road, Surat-395003.**

**Ph.: 0261-6673500 Tele Fax: 0261-6673537**

**Email: [info@rwadiwala.com](mailto:info@rwadiwala.com)**

**Website: [www.rwsec.com](http://www.rwsec.com)**

**Investor Grievance Redressal : [support@rwadiwala.com](mailto:support@rwadiwala.com)**

**CIN-U67120GJ004PTC044324**

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