



# M/s. Rapid Capital Services

MEMBER : NATIONAL STOCK EXCHANGE OF INDIA LTD.

SEBI REG. NO. : INB 230656524 / INF 230656524 / INE 230656524 • MEMBER CODE : 06565

Corporate Office : Bilquees Mansion, 2nd Floor, 261/263, Dr. D. N. Road, Mumbai-400 001.

Tel. : 2266 2882 / 2261 1182 • Fax : 022-2262 6087 • E-mail : rapidcap@gmail.com

Market Operations Office : 13-16, 2nd Flr., Satyam 'A' Wing, Satyam-Shivam-Sundaram Complex, M. G. Road, Ghatkopar (East), Mumbai-400 077. • Tel. : 2102 7679 / 8681 • Fax : 022-2102 8304 • Website : www.rapidcaps.net

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

## Addendum to Client Registration Form

### Financial details of the constituents

- Below 1 Lac
- 1-5 lacs
- 5-10 Lacs
- 10-25 Lacs
- >25 Lacs

### Inperson Verification

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

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

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

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

### 2. Settlement of Funds & Securities will be done atleast once in a calendar quarter/ months.

Statements of accounts of Funds & Securities shall be send once in a Quarter/Month at the time of Settlement.

Above Statement can be send to me on my email ID.....

OR

Delivery of the documents can also be send by Post / Courier / Hand delivery.

### Trading Preference (please write these details in your own hand writing)

A. Stock Exchanges and segment on which you wish to trade (if the member is registered for such Exchanges):

Sr. No.	Exchange	Segment	Signature of client
1	NSE	Cash	
2	NSE	F & o	
3	NSE	Currency Derivative	

### References

Address of Introducer: \_\_\_\_\_

Identity document of Introducer: \_\_\_\_\_

(Please provide proof of address & copy of pan card.)

UCC Code No. (If client is registered with Member) : \_\_\_\_\_

Details of any action taken by SEBI/Stock exchange/any other authority for violation of securities laws/other economic offences during last 3 years



### **A. Refusal of orders for Penny Stock**

- The broker reserves his right to accept orders for buy or sell of stocks that quote at a relatively low price or have low floating stock. He will not be held responsible for any loss of opportunity by the client.

### **B. Setting up client's exposure limit:**

- The Client is aware and agrees that trading exposure limit provided to each client may not be of same multiple, and it is discretionary prerogative of the broker to allow distinct permissible exposure to each client. The broker may seek upto 100% margin before accepting any order.

### **C. Brokerage rate:**

- Brokerage will be charged to the clients at rates not exceeding the limit prescribed by the Exchange.

### **D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period not resulting in funding by the broker in contravention of the applicable laws**

- The Client has executed a 'Running Account authorisation' in favour of the broker with intent to have ready margin to meet his or her trading needs. No interest is payable by the broker on credit balances, if any. Moreover, the broker is not into the business of funding client positions, hence delayed payment charges will not be charged.

### **E. The right to sell client's securities or clients' positions, without giving notice to the client, on account of non-payment of client's dues (this shall be limited to the extent of settlement / margin obligation)**

- In the event of non-payment of settlement obligations the broker reserves the right to liquidate securities or open positions of the client to the extent of clearing the debit balance standing in financial ledger or margin obligation.

### **F. Shortages in obligations arising out of internal netting of trades:**

- There could be instances when a client does not deliver shares against its sale position, and coincidentally another client is to receive shares of the same scrip. In such a scenario the position will be subject to the broker's discretion:
  - (i) The Settlement positions will be closed by the broker at valuation rate.
  - (ii) The benefit calculated during the next days price after the payment day shall be recovered from the defaulting client & passed on to the respective beneficial client.

### **G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

- Under any of the circumstances, such as, client's failure to meet pay-in or margin obligations or clearance of outstanding/debit balance with broker before permissible time limit or beyond such period as may be allowed by broker as per its RMS policy, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Even, broker can firstly set-off or adjust the payment or securities towards various dues and obligation of the client and until the full clearance of the same, shall not allow the client to take further / fresh position. Further, it would be the duty of the client to monitor his/her/its position with the Broker from time to time. In case of any delay or failure in meeting any obligation, margin requirements etc. from client side, broker might close the existing position or open position WITHOUT ANY FURTHER INTIMATION to the client as per RMS policy. Such Circumstances may include (but not limited to):
  - (i) failure to meet pay-in obligation on T+1 day,
  - (ii) delay in meeting the pay-in or margin requirement,
  - (iii) delay or failure in clearance of outstanding or dues to the broker,
  - (iv) returning or frequent returning of cheques of the client,
  - (v) Unnecessary / Unwarranted dispute from client without any substantial cause / reason,
  - (vi) Client's attitude of not coming to the amicable settlement for any dispute that can be settled without involvement of Exchange and / or SEBI.
  - (vii) As per prevalent RMS policy of the Broker,
  - (viii) Any direction from SEBI/Exchange or such other authorities,
  - (ix) Under such other circumstances as the Broker might think just and proper on case to case basis.

**H. Temporarily suspending or closing a client's account based at the client's request**

- The Broker and/or client may suspend Client's Trading Account from further dealing in the securities market through the broker in following circumstances:
  - (a) as per Client's prior written request of atleast 3 days submitted to Broker at its Mumbai H.O. duly acknowledged by Broker (subject to clearance of entire outstanding/obligations),
  - (b) Dormant or in-active status of client beyond specified time limit as may be prescribed by Broker,
  - (c) Under any circumstances mentioned in (i) to (ix) above.

**I. Deregistering a Client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of:

- (i) Regulatory actions of the SEBI or any of its arms;
- (ii) Commencement of a legal process against the client under prevailing laws of land;
- (iii) Death or lunacy or disability resulting in inaction of the client,
- (iv) Breach of any term, condition or covenant of this agreement;
- (v) Detection of misrepresentation of facts by the client;
- (vi) The client having voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a received appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protect as a relief undertaking;
- (vii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**Dormant / Inactive Client Account:**

It is the broker's discretion to treat a client account as dormant / inactive if there is no activity in an account for more than two years from the last trade. In such cases, the client has to make a written request for reactivation of his trading account, with recent proofs and any upgradation in the KYC form.

- I/We have fully understood the above and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document. These policies and procedures may be amended unilaterally by the broker, provided the amendment is informed to me / us. These policies and procedures shall always be read alongwith the agreement and shall be compulsorily referred to while deciding any dispute or claim between me / us and broker before any regulator or arbitrator or court of law.

**Statutory & Other Charges:**

Brokerage will be exclusive of Transaction Charges, Stamp Duty, Security Transaction Tax, Service Tax, SEBI Turnover fees or any other tax/levy imposed by Exchange/SEBI/any other government agencies.

Branch :	Client Code :	Brokerage :		1st Leg		2nd Leg(Same Day)	
				%Age	Min	%Age	Min
			Trading				
			Delivery				
Checked By : / Approved By :			Account Code Updated By :				
Authorised Person :			(Name and Signature)				
(Name and Signature)			(Name and Signature)				

Brokerage for penny stock will be charged to the clients at rates not exceeding the maximum limit prescribed by the Exchange.

Client's Signature  \_\_\_\_\_

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

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

## RUNNING ACCOUNT AUTHORIZATION

<b>NON-MANDATORY</b>
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I / we \_\_\_\_\_ do hereby authorise to maintain running account with Rapid Capital Services

**I / we hereby agree to renew the above said authorisation within 1 month of every year after accounting year ending 31st March.**

I / we also hold @ **right to revoke** the above authorization at any time by providing letter in writing to Rapid Capital Services

I / we authorise Rapid Capital Services to retain Securities / funds to meet margin obligations. It is understood that this amount will not attract any interest during the tenure.

I / we hereby agree to settle the funds / securities atleast once in a calender quarter.

I / we declare that in case of any dispute arising out of statement of account or settlement would be noticed to Rapid Capital Services within 7 working days from the date of receipt of statements.

In case of revocation of running account all the balances should be NIL & a notice should be served atleast 15 days in advance.

Client's Signature \_\_\_\_\_

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

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

Note: To be signed by the client personally & not by holder of Power of Attorney.

### Financial Details

Client's Signature  \_\_\_\_\_

Annual Income Range (INR)	<input type="checkbox"/>	< 1 Lac	<input type="checkbox"/>	1-5 Lacs	<input type="checkbox"/>	5-10 Lacs	<input type="checkbox"/>	10-25 Lacs	<input type="checkbox"/>	>25 Lacs
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**AUTHORISATION FOR ELECTRONIC CONTRACT NOTE**

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

To,  
**Rapid Capital Services**  
Bilquees Mansion, 2nd Floor, 261/263,  
Dr. D. N. Road, Mumbai-400 001.

Dear Sir,  
I/We have been/shall be dealing through you as my/our broker on the Capital Market. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealing on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receiver the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes to me/us.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email accounts(s)/ email id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any nonreceipt/delayed receipt for any reason whatsoever. I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that.

Client's Signature ⊗ \_\_\_\_\_

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

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

**DECLARATION FOR MOBILE NO.**

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

**Rapid Capital Services**  
Bilquees Mansion, 2nd Floor, 261/263,  
Dr. D. N. Road, Mumbai-400 001.

Dear Sir,

I,..... hereby declare that my mobile no. is..... Further, I authorize that the same may be used for giving me any information/alert/sms/call.

I further declare the above mentioned statement is true and correct.

Thanking you,  
Yours faithfully,

Client's Signature ⊗ \_\_\_\_\_