



RR Global Capital

Leading Stock Market Broker

SEBI Reg. Nos.: - INZ000213626, NSE Member Code – 90153 (NSE Future & Options – F&O)
Registered Office: S-19, Centre Tower, Central Spine, Vidhyadhar Nagar, Jaipur-302039
Contact: +91-141-4029262 / +91 – 6378305993, Email - rrglobalcapital@gmail.com,
Website – www.rrglobalcapital.com

Policies & Procedures

RR GLOBAL CAPITAL (herein after referred to as the “Company”/“the stock broker”) has adopted the following policies and procedures. The client is requested to read and understand the policies before trading through the Company. The Company reserves right to amend/modify any of the policies/procedures mentioned below from time to time depending upon regulatory, market, external conditions and our internal risk management framework, and the customers can obtain such change/modification from the Company's website.

1. Refusal of orders / restrictions on trading in penny stocks and illiquid stocks:

Generally, the Company draws a list of “Penny, Illiquid and Caution stocks” on a periodic basis and alerts the customers to desist trading in any penny stocks considering the risk associated with such stocks. The Company based on the regulatory directives and guidelines of SEBI & Exchanges, rules, circulars considering the market circumstances and risk policies at its sole discretion may impose certain restriction and/or conditions from time to time. These conditions/restrictions include but are not limited to the conditions mentioned below and shall restrict wholly or partly for trading in certain security (ies) or category of security (ies)/contracts viz. –

- I Shares trading below a certain price,
- II “Z”, “T”, “TS”, & “S” groups as categorized by The Bombay Stock Exchange Limited,
- III Stock Exchange's list of “Illiquid stocks” which is disseminated to the intermediaries on a periodic basis,
- IV Stocks which are under SEBI / Stock Exchange's scanner for price, abnormal volumes or basis internal surveillance and risk containment measures,
- V Writing of options, illiquid options, far month options/long dated options,
- VI Any other Stocks/contracts which as per the perception of the Company are volatile or subject to market manipulation or has concentration risk at client/Company level
- VII For Information list and Current Watch list which is published by Exchange from time to time on Exchange website under head NSE - 'Investors Beware' & BSE – ‘Attention Investors’

Customers may note that RR GLOBAL CAPITAL reserves the right to reject the orders placed by the customers and / or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price.

The customers can view the information on Company's website inside trading zone in Customer Report section. Alternatively the client can also get in touch with their Relationship manager/ National Call Centre/Sub broker/Dealing branch Office. Further basis internal surveillance and/or regulatory enquiries, written explanations may be sought from the customers explaining reasons of trades in a particular stock.

2. Setting up of client's Exposure Limits:

Exposure limits for the customers will be set for each segment, product and client combination as per the prevailing Risk Management Policies. Exposure limits will be assigned considering customers collaterals with the Company. Collaterals can be in form of Cash, Shares, Fixed Deposit Reserves, Mutual Funds units, Bank Guarantees, etc as prescribed by regulations. List of approved securities along with applicable haircut is subject to revision from time to time based on Exchange approved list, market volatility, quality of securities and internal risk policies. The Company reserves the right to accept /reject a particular form of collateral from a specific client considering its assessment of client risk profile.

RR GLOBAL CAPITAL may from time to time at its sole discretion, impose and vary the limits on the



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orders that client can place through it (including but not limited to exposure limits, turnover limits, limits as to number, value

and/kind of securities/ contracts in respect of which buy or sell orders can be placed). RR GLOBAL CAPITAL may need to vary or reduce the limits or impose new limits on the basis of its risk perception and other factors considered relevant and that RR GLOBAL CAPITAL will make all necessary attempts to inform customers of such changes. Daily / Monthly / Quarterly settlement will be processed considering same haircut which was applicable while giving trading limits to the clients as defined in the RR GLOBAL CAPITAL Risk policy.

3. Applicable Brokerage Rates:

As stipulated by SEBI, the maximum brokerage that can be charged is 2.5% of the trade value. This maximum brokerage is inclusive of the brokerage charged by the sub- broker (sub-brokerage cannot exceed 1.5% of the trade value). The company reserves the right to change the pricing (brokerage and other levies) from time to time. In case of any upward revision in brokerage charges, change needs to be preceded by a notice of 15 days.

4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period:

Delayed payment charges- The client is required to pay the entire amount due to the Company on due date. The amount due to the stock broker shall include all types of margin and pay-in obligation. In case if the client does not make payment by due date he would be levied a penal interest @ 24% p.a. on the amount remaining outstanding/ or sell the securities lying with the stock broker

Clients are further required to make payment of margin towards their Derivatives segment exposure. While, RR GLOBAL CAPITAL accepts approved securities as margin, it is not the beneficial owner of these securities and hence it is unable to pledge the same onwards to the exchange as margin and has to arrange for own funds/securities for payment of margin to the exchange for positions taken by the clients. Clients are requested to make payment of margin in the form of funds to avoid charging of interest in F&O segment. Accordingly, whenever clients provide margin in the form of securities (or there is shortfall in payment of margins in the form of securities instead of margin in the form of funds towards exposure in F&O), RR GLOBAL CAPITAL reserves the right to charge interest on the debit balance lying in F&O segment.

Margins provided by the client in the form of funds shall be interest free and the RR GLOBAL CAPITAL shall not be liable to pay any interest on the same.

5. The right to sell customers' securities or close existing position of a client, without giving notice to the client, on account of non-payment of client's dues.

This policy is applicable for overdue and/ or shortage in payment not made by the client whether arising out of margin shortfall or on account of payin obligations Margins of the client will be monitored intra day during the market hours. The position or collaterals of the client may be liquidated, at the discretion of the Company, in case of any shortfall of margin and/or obligation due without any notice to the client. This would include the right in favour of the Company to recover margin shortfall and/or obligation due from the customer's bank and/or depository accounts pertaining to which POA is executed in favour of the Company. Company on best effort basis will try and inform the client and give him reasonable time for payment. The client is requested to keep a track of their margin positions and ensure that appropriate margins are placed with the Company at all points of time to avoid any forceful square up. The Company, at its discretion may in addition or on a standalone basis levy delayed payment charges and / or additional penalties.

In case the payment of margin / security is made by the client through a bank instrument, RR GLOBAL CAPITAL shall be at liberty to give the benefit / credit for the same only on realization of the fund from the



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said bank instrument etc., at its absolute discretion. Where the margin/ security is made available by way of securities RR GLOBAL CAPITAL is empowered to decline its acceptance as margin / security and / or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as it may deem fit in its absolute discretion.

RR GLOBAL CAPITAL has the right but not obligation, to cancel all pending orders and to sell/close/liquidate all open position /securities / shares at the pre-defined square off time due to margin shortfall / pay-in obligation/ any other dues or when mark to market percentage reaches or crosses stipulated margin percentage, whichever is earlier. RR GLOBAL CAPITAL will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. The client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

In case customer do not square off or convert the T+ 5 position to delivery by transferring money, RR GLOBAL CAPITAL will square off the Open position on T+6th day. On T + 6 day, position taken on T-6th day will be squared up, logic applied being stocks due to which the debit has been created will be squared up first, followed by other stocks in the same order in case of any residual dues.

6. Shortages in obligations arising out of Internal netting of trades or Short Delivery from Exchange:

If Buyer and Seller are both from RR GLOBAL CAPITAL and seller fails to deliver the shares by settlement pay – in deadline then RR GLOBAL CAPITAL has to handle internal shortage. Internal shortages are identified and purchased from the open market in designated trading account on T + 2 day / Settlement day.

Seller Shortages –

- I Provisional debit to client ledger on settlement day will be margined at 120% of last closing price.
- II The provisional debit amount will be reversed as per auction settlement calendar and the actual purchase rate will be debited to the client's ledger with additional 1% penal brokerage and other taxes.
- III The difference between original rate and market purchase rate would be recovered from the seller.
- IV During purchase, If the scrip is in upper circuit on settlement day, the rate debited is calculated as highest price between trade day to auction day or closing price on auction day plus 20 %, whichever is higher.
- V In case of no liquidity in market, internal shortage will be closed at a mark up of 5% to 10%, wherein the difference will be recovered from the seller and paid to the buyer. The criteria for applying 5 % to 10% mark-up will be based on value of shortage, customers standing etc.

Buyer Shortages –

- I The buyer in that case would receive shares on T+ 4 . In case of internal shortage, if record date falls between T+2 to T+4, corporate actions will be adjusted before making payouts to customers.
- II In case an RR GLOBAL CAPITAL client is a buyer who was allocated shortage and the shortage results in closeout, buyer will be credited with funds at the closeout rate in his ledger instead of shares in demat account.

Further, In case a customer sells obligation stocks (unsettled stocks) and there is a short delivery (either Internal or from Exchange) due to which the pay-in of securities cannot be honoured, all resulting charges will be borne by the customer.

7. Conditions under which a client may not be allowed to take further position:

The Company reserves the right to disallow a client to take further positions, including but not restricted to the following situations:



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- I Non-payment of dues as outlined in point 3 & 4 above,
- II Where the client is not maintaining sufficient margins, as per the conditions specified in the “setting up of Client’s Exposure limit” section or customer’s failure to top-up additional margins,
- III Dishonouring cheque /not meeting sale obligation by delivering shares in time by the client,
- IV Volumes in excess of an internal threshold in a particular scrip/contract, scrips/contracts moved in BAN list (due to breach of exchange limit defined for market wide position limit / trading member wide position limit / client wide limit in F&O segment, etc.),
- V If the client appears in the notification received in the list of banned entities issued by any regulatory authority,
- VI Under regulatory guidelines, rules or other directives where the restrictions placed on certain client, stocks, positions etc,
- VII In case the client has any dispute, pending civil, criminal actions, proceedings and enquiries against him/her or if the same is initiated or any other reasons leading to raising non-confidence in client,
- VIII In case the client is found or suspected to be engaged in market manipulation activities directly Or indirectly,
- IX In case orders are placed beyond a certain threshold
- X Under any other circumstances as the Company feels just and proper on a case basis.
- XI XI. Notice to the client.
- XII XII. In case the scrip or member limits are breached or likely to be breached in the Derivatives Market Segment

8. Penal charges that may be debited to the Client’s account:

RR GLOBAL CAPITAL reserves the right to debit client’s ledger for any penal charges that may be charged by the Exchanges/depositories on RR GLOBAL CAPITAL on the client level for any default / violation of Exchange guidelines / requirements occurring due to omission or commission of any act on the part of the client. This may include penalty for:

- I Short delivery of securities
- II Violation of client level position limits
- III Shortfall in Margin payment
- IV Client code modification

9. Temporarily suspension or closing a client’s account at the client’s request:

I Temporary suspension:

- A. If the client is found to be KYC non-compliant.
- B. Action taken in accordance with an order issued by any regulatory authority against the client.
- C. If the Client initiates any arbitration and/or litigation against/by the Company.
- D. Failure to meet the pay-in obligations. Here the account would be temporarily suspended till the receipt of such obligations.
- E. If the client has been found to have indulged in alleged Market or price manipulation.
 - a) Prior intimation shall be given to customers in case of scenario A above.
 - b) Post facto intimation shall be given to customers in respect of scenarios B, C, E
 - c) No intimation shall be given to the customers in respect of scenario no. D.

Please note that this intimation may be given by way of an email for customers having registered email id.

Please note that the above scenarios are not exhaustive and the company reserves the rights to take action apart from the above, as it may deem fit.

II Closure of client account:



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- A. Upon violation/Termination of agreement (pre intimation notice to be served to customers)
- B. Upon closure request received from client
- C. In the event of death/ insolvency of the Client, subject to relevant documentation provided by the Claimant / client. In case of non-individual customers, closure of business of the Client, subject to relevant documentation provided by the client.

- Post facto intimation shall be given to customers in respect of the aforementioned scenarios. In case of closure of client's accounts as above, client shall be informed in writing about such action by the Company. Please note that this intimation may be given by way of an email for customers having registered email id.

Please note that the above scenarios are not exhaustive and the company reserves the rights to take action apart from the above, as it may deem fit.

10. Deregistering a client:

The client shall be deregistered in the following instances:

- I If the client is found to be KYC non-compliant.
- II In accordance with the Company AML policy/regulatory guidelines specified from time to time.
- III In case of customers referred by the Franchisee, their accounts would be deregistered in case of closure of franchisee.
- IV Upon non-payment of dues by the client as per internal policies.
- V Upon violation/Termination of agreement.
- VI As action taken in accordance with an order issued by any statutory/regulatory authority against the client.
- VII Upon closure of business of the Company.

- A. Prior intimation shall be given to customers in case of scenarios III, IV, V and VII above.
- B. Post facto intimation shall be given to customers in respect of scenarios II, VI.
- C. Intimation has been given to the customers in respect of scenario I under policy 9 (I).

Please note that this intimation may be given by way of an email for customers having registered email id.

Please note that the above scenarios are not exhaustive and the company reserves the rights to take action apart from the above, as it may deem fit.

11. Inactive accounts:

This policy depicts the scenarios/reasons when the account of the client is deactivated and maybe subsequently reactivated. This policy is applicable to all customers of Retail segment. The Company temporarily deactivates the accounts of the customers in the following instances, in addition to the scenarios mentioned under the 'Policy on Temporary Suspension':

I. Misplaced/Lost password - The account is deactivated if customer requests for the same citing security issues.

II. Dormancy –

The client account is blocked due to inactivity or login after 365 days of last login.

The status of such deactivated accounts is termed as "Inactive account". These accounts are reactivated subject to necessary due diligences and confirmations undertaken by the Company as it may deem fit.

Please note that the above scenarios are not exhaustive and the company reserves the rights to take action apart from the above, as it may deem fit.



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12. On use of POA

We have observed that the Clients of RR GLOBAL CAPITAL do not use their bank accounts exclusively for their securities trading purposes. They use it for their other transactions also (repayment of loan and EMI's etc.).

Therefore RR GLOBAL CAPITAL does not consider funds lying in the said bank account for margin purpose even in case where clients provide Power of Attorney (PoA) to operate such bank accounts as per the terms of the PoA. Clients are, therefore, required to transfer funds themselves to their respective accounts or to instruct RR GLOBAL CAPITAL specifically to transfer funds. RR GLOBAL CAPITAL uses the power as vested in it vide such PoA only to transfer funds under the instruction of its clients or in case such clients fails to discharge their obligations and clear their outstanding dues / liabilities.

RR GLOBAL CAPITAL reserves the right to recover all charges, but not restricted to trade dues payable & all other dues payable by the client and that, such dues can be recovered by selling client's securities

13. Sale of Investment product to US Persons Standards

"In the event your account is found to be of US Indicia indicating that you may have become a US person, your account will be subjected to the relevant requirements set out under the Sale of Investment product to US Persons Standards until your US Person status is confirmed.

Therefore, your trading account will be suspended and restricted from further trading activities effective immediately."

Definitions:

US person: An individual who is either:

- a. A US citizen. Anyone born in the US Territories will be deemed a US citizen); or
- b. Holding a "Green Card" issued by the US Government.

A Client falls under one of the above criteria is a US Person and continues to be a US Person if the Client:

- a. Holds a permanent resident status outside of the US; or
- b. Possesses dual or multiple citizenships; or
- c. Conducts business as a sole proprietor or sole trader or other non-personal banking activities, (including the mixed use of his personal and business banking needs) as an individual and not through any non-individual entity or structure.

US Indicia: In respect of an Individual, any of the following (irrespective of whether they reside in the US or outside the US):

- a. U.S. citizen or someone who holds a permanent resident or "Green Card" issued by the U.S. government;
- b. AU.S. place of birth;
- c. A current U.S. residence address or U.S. mailing address (including a U.S. post office box);
- d. A current U.S. telephone number (regardless of whether such number is the only telephone number associated with the Account Holder);
- e. Standing instructions to pay amounts from the account to an account maintained in the U.S.;
- f. A current power of attorney or signatory authority granted to a person with a U.S. address; or
- g. An "in-care-of" address or a "hold mail" address that is the sole address a Group Entity has identified for the Account Holder.

In respect of an Entity:

- a. An Account Holder is resident in the U.S.;
- b. A current U.S. residence address or U.S. mailing address (including U.S. post office box);
- c. A current U.S. telephone number (regardless of whether such number is the only telephone number associated with the Account Holder);
- d. With respect to an offshore obligation, standing instructions to pay amounts to a U.S. address or an account maintained in the U.S.;



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- e. A current power of attorney or signatory authority granted to a person with a U.S. address; and
- f. An “in-care-of” address or “hold mail” address that is the sole address a Group Entity has identified for the Account Holder

In respect of a Private Investment Company:

The US Indicia also includes the beneficial owner that has become a US Person or US Resident

14. Facility of voluntary freezing / blocking of Trading Accounts by Clients

This is with reference to exchange Circular no. NSE/INSP/61529 and 20240408-12 dated April 08, 2024 on the subject “Trading Members to provide the facility of voluntary freezing/blocking the online access of the trading account to their clients”.

Client can voluntarily Freeze their trading account only incase of if any suspicious activity is observed as per the below procedures.

There are 2 ways by which the client can Freeze their account.

- 1) Client can request for Freeze of their account by sending an Email from their registered E-mail Id.
- 2) Client can request for Freeze of their account by calling to our National Call Centre number 1800-209-2550 from their registered mobile number.

Client should only use this functionality only in case of any **suspicious activity** is observed by them.

- Client can request for Freeze the account.
- Request will be authenticated and validated.
- Upon successful validation all the pending order will be cancelled in case of Freeze request and no new order will be placed within 15 min of the valid request.
- Client will receive the acknowledgement on their registered E-mail id with 15 minutes of the valid request.

Scenario and timelines:-

Scenario	Timelines for issuing acknowledgement as well as freezing/ blocking of the online access of the trading account
Request received during the trading hours* and within 15 minutes before the start of trading	Within 15 minutes
Request received after the trading hours and 15 minutes before the start of trading.	Before the start of next trading session

Trading hours shall be as follows: Capital Market Segment: 9.15 a.m. to 3.30 p.m., Equity Derivatives Segment: 9.15 a.m. to 3.30 p.m., Currency Derivatives Segment: 09.00 a.m. to 05.00 p.m

Client can request for UnFreeze of the account by calling to our National Call Centre number 1800-209-2550 from their registered mobile number or via sending an email to from their registered email id.

After verifying your request and completing necessary checks, your trading access will be restored as per the policy.

15. Policy on Handling of Good Till Triggered Orders of Client

Good Till Trigger (GTT) has been implemented from Feb'24 onward with below Policy.

- I. GTT orders can be placed by Client through the trading application Web Portal, Mobile App or



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- offline through their Relationship Manager (RM)/Dealer/National Call Centre (NCC).
- II. GTT orders are applicable for only NSE Equity and BSE Equity segment.
 - III. Both Buy and Sell GTT orders can be placed.
 - IV. The orders are valid for 365 days or till triggered, whichever is earlier. Once a GTT order is triggered, the order is placed as a normal order with day validity and reflects in normal order book. Irrespective of whether the order gets executed or remains pending, the order is not carried forward for subsequent day.
 - V. GTT orders will remain active till the time trigger or 365 days whichever is earlier.
 - VI. The impact of corporate action does not impact the GTT orders. The orders remain in the system post corporate action and would get executed based on triggers.

Customers to monitor corporate actions and to cancel or modify the pending GTT orders before the upcoming corporate actions which shall not be later than one day prior to the ex-date of the corporate action.

For More Details on GTT click here [GTT](#)

Disclaimer: Standard Chartered Securities Limited reserves right to edit, alter and or remove any information in whole or in part of the above policy. Clients are requested to refer any changes done in the policy from time to time.

For Further reference kindly refer the [RR GLOBAL CAPITAL Credit Risk Policy](#) and [Risk Management Policy](#) documents.