

ATTENTION

Declaration pursuant to Multy Commodity Exchange Limited (MCX) Circular bearing No.MCX/COMP/469/2011 dated 22nd December,2011 and National Commodity & Derivatives Exchange Limited (NCDEX) Circular bearing No.NCDEX/LEGAL-001/2012/002 dated 3rd January,2012. SEBI Registration No.: INZ000056036

CASH RECEIPTS & PAYMENTS STRICTLY NOT ALLOWED

Constituents are requested to make payments to “**Jambuwala Commodities Private limited**” by Cheques / Account transfers.

In case Demand Drafts / Pay-Orders, contituent to substantiate that the same is drawn favouring **Jambuwala Commodities Private limited** with his / her / their permisson and knowledge.

If the aggregate value of prefunded instrument i.e. Deman Draft / Pay order / Bankers cheque etc. is above ` 50,000/- then the client needs to submit as follow : (1) Certificate from the issuing bank on its letterhead or on a plain paper with the seal of the issuing bank. (2) Certified copy of the requisition slip (portion which is retained by the bank) to issue the instrument. (3) Certified copy of the passbook / bank statement for the account debited to issue the instrument. (4) Authentication of the bank account number debited and name of the account holder of the issuing bank on the reverse of the instrument.

MARGIN DEPOSIT, IF ANY, BY CONSTITUENT ALONGSIDE SIGNING UP OF KYC:

Cheque details:	Chq. No. _____ Dated _____ Amount _____ Bank _____
Collateral details:	1. _____
	2. _____

OTHER DETAILS

Branch (Name & Code)	
Sub Broker (Name & Code)	
Rm (Name & Code)	
Group Code	
Signature	
Proof Of Identity (If Non-Employee)	
Proposed Relationship Manager (Name & Code)	
Signature	

IN PERSON VERIFICATION

Employee (Name & Code)	
Employee Designation	
Date Of Meeting With The Client	
Place Of Meeting With The Client	
How Does Employee Know The Client Or Get Reference Of The Client	
Employee Signature	

HELP US KNOW YOU BETTER

Customer Profile Sheet

1.	house : <input type="checkbox"/> Self owned <input type="checkbox"/> Parental <input type="checkbox"/> Rented				
2.	Vehicle: <input type="checkbox"/> 2 - Wheeler <input type="checkbox"/> 4-Wheeler				
3.	how often do you travel aboard <input type="checkbox"/> Monthly <input type="checkbox"/> Every 6 Months <input type="checkbox"/> Once in Year				
4.	Club membership(s): <hr/> <hr/>				
5.	what is your source of stock markets information <input type="checkbox"/> TV Channels <input type="checkbox"/> News Paper <input type="checkbox"/> Friends / Relatives <input type="checkbox"/> Broker <input type="checkbox"/> Magazines <input type="checkbox"/> Others _____				
6.	your preferred TV content <input type="checkbox"/> Busines <input type="checkbox"/> News <input type="checkbox"/> Sports <input type="checkbox"/> Entertainment <input type="checkbox"/> Movie				
7.	your preferred News paper <input type="checkbox"/> English _____ <input type="checkbox"/> Hindi _____ <input type="checkbox"/> Regional Language _____				
8.	your preferred magazines <input type="checkbox"/> Business <input type="checkbox"/> News <input type="checkbox"/> Sports <input type="checkbox"/> Entertainment <input type="checkbox"/> Health <input type="checkbox"/> Lifestyle				
9.	what is your market / stock reference				
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">market preference</th> <th style="width: 50%;">stock preference</th> </tr> </thead> <tbody> <tr> <td> <input type="checkbox"/> Speculator <input type="checkbox"/> Regular Investor <input type="checkbox"/> Occasional Investor <input type="checkbox"/> Trader </td> <td> <input type="checkbox"/> High Risk Return <input type="checkbox"/> Blue chip <input type="checkbox"/> Stock valued below Rs. 10 <input type="checkbox"/> Stocks recommended by Research houses </td> </tr> </tbody> </table>	market preference	stock preference	<input type="checkbox"/> Speculator <input type="checkbox"/> Regular Investor <input type="checkbox"/> Occasional Investor <input type="checkbox"/> Trader	<input type="checkbox"/> High Risk Return <input type="checkbox"/> Blue chip <input type="checkbox"/> Stock valued below Rs. 10 <input type="checkbox"/> Stocks recommended by Research houses
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10.	you are currently invested in <input type="checkbox"/> Mutual Funds <input type="checkbox"/> Insurance <input type="checkbox"/> Shares <input type="checkbox"/> Commodities <input type="checkbox"/> Bonds <input type="checkbox"/> FD's <input type="checkbox"/> Real Estate				
11.	what kind of Insurance plans you have availed & invested in <input type="checkbox"/> Pension plans <input type="checkbox"/> ULIP <input type="checkbox"/> Health <input type="checkbox"/> Endowment <input type="checkbox"/> Motor <input type="checkbox"/> Others _____				
12.	Any ongoing loans : <input type="checkbox"/> YES <input type="checkbox"/> NO If Yes <input type="checkbox"/> Personal <input type="checkbox"/> Motor <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Home Loan against Property <input type="checkbox"/> <input type="checkbox"/> Commercial vehide loans <input type="checkbox"/> Construction Equipment Loans SME Business Loans				
13.	mode of communication you prefer to receive information generally <input type="checkbox"/> Email <input type="checkbox"/> SMS <input type="checkbox"/> Telephone <input type="checkbox"/> Courier/Post				

Compliance officer Name – KAMAL P. SHAH – Tel : 91-9879513216 – Email id: kamal@jambuwal.com

- For any grievance/dispute please contact +91-79-26564165 [E-mail id- contactus@jambuwal.com](mailto:contactus@jambuwal.com).
- In case not satisfied with the response, please contact the concerned exchange(s) at compliance@mcxindia.com and Phone no. 91-79-26564165.

ACCOUNT OPENING FORM

INDEX

sr. No.	Particulars	page No. (s)	No. of signature (s)
MANDATORY			
1.	KYC (Account Opening) application form	7-9	2
	KYC form - Document captures the basic information about the constituent and an instruction/check list. (Individual & Non-Individual)		
2.	Uniform Risk Disclosure Document (RDD)	17-19	1
	Document detailing risks associated with dealing in the commodities market.		
3.	Rights and Obligations of Members, Authorized Persons and Clients	20-24	-
	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).		
4.	Do's and Don'ts for the Investors	25-27	-
	Document detailing do's and don'ts for trading on exchange, for the education of the investors.		
5.	Tariff sheet	28	1
	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s) (to be added by the member).		
NON-MANDATORY			
1.	Addendum	30-31	2
	Addendum to the Agreement between Constituent and Member for NCDEX/MCX		
2.	Authorization for Retaining & Utilising Funds & Commodities	32-33	2
	Authorization for adjustment of amount / balances and retaining & utilization of credits of Funds & Commodities		
3.	Declaration By HUF	33	1
	Declaration for operating Beneficiary Account (by Karta/HUF)		
4.	Consent for ECN	34	1
	Consent for delivery of Contract notes electronically		
5.	Authorisation on Orders and Trade Slips	35	1
6.	Authority Letter	35	1
	Authority letter in favor of Authorized representative in case trading will be undertaken by person other than applicant.		

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:	
1.	Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2.	Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3.	If any proof of identity or address is in a regional language, then translation into English is required.
4.	Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5.	If correspondence & permanent address are different, then proofs for both have to be submitted.
6.	Sole proprietor must make the application in his individual name & capacity.
7.	For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8.	For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9.	In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
10.	Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
b. PROOF OF IDENTITY (POI): - LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF IDENTITY:	
1.	Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2.	PAN card with photograph.
3.	Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
C. PROOF OF ADDRESS (POA): - LIST OF DOCUMENTS ADMISSIBLE AS PROOF OF	
(*Documents having an expiry date should be valid on the date of submission.)	
1.	Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2.	Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3.	Bank Account Statement/Passbook – Not more than 3 months old.
4.	Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5.	Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6.	Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7.	The proof of address in the name of the spouse may be accepted.

d.	EXEMPTIONS/CLARIFICATIONS TO PAN
	(*Sufficient documentary evidence in support of such claims to be collected.)
1.	In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2.	Investors residing in the state of Sikkim.
E.	LIST OF PEOPLE AUTHORIZED TO ATTEST THE DOCUMENTS:
1.	Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy)
2.	In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.
F.	In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below.

Note :

- 1) All photocopies of proofs submitted to be signed by constituent (self certified) and counter-signed by JCPL staff with remarks "Verified with Originals".
- 2) *All Annexures and declarations available on **Error! Hyperlink reference not valid.**downloads >> download KYC



MANDATORY

Jainbunwala
Group
Vibrant Investments

INTENTIONALLY KEPT BLANK





Jambuwalla Commodities Pvt. Ltd.
 Regd Office : 405/406, Iscon Avenue,
 Opp. Choice Restaurant, Swastik Cross
 Road, Ahmedabad, Gujarat - 380 009.
 Tel: 079-2656 4165 Fax: 079-2656 4165
 Website : www.jambuwalla.com

Application No. _____

Client Code issued _____

Member of : Multi Commodity Exchange Limited (MCX) & National Commodity & Derivatives Exchange Limited (NCDEX)
KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUALS

Registration No.	MCX :	NCDEX
	MEMBERSHIP ID - 11390	MEMBERSHIP ID - 00849

PHOTOGRAPH
 Please affix your recent passport size photograph and sign across it
 X1

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with express permission of client)

We request you to register us as your client. The details of registration is as under

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant : _____

2. father's/ spouse Name : _____

3. a. gender: Male Female b. marital status: Single Married c. date of birth: DD - MM - YYYY

4. a. Nationality: _____

b. status: Resident Individual Non Resident Foreign National

(If Non Resident / Foreign National, self certified copy of statutory approval obtained must be attached)

5. a. PAN: _____

b. Unique Identification Number (UID)/ Aadhaar, if any: _____

6 specify the proof of Identity submitted: _____

b. ADDRESS DETAILS

1. Address for correspondence : _____

City/town/village: _____ Pin code: _____ State _____ Country _____

2. Contact Details: Tel(off) _____ Tel(Res) _____ Mobile NO _____

Fax: _____ Email Id _____

3. Specify the proof of address submitted for correspondence address _____

4. Address for Permenrt : _____

City/town/village: _____ Pin code: _____ State _____ Country _____

5. Contact Details: Tel(off) _____ Tel(Res) _____ Mobile NO _____

Fax: _____ Email Id _____

6. Specify the proof of address submitted for Perment address _____

TRADING PREFERENCES

*Please sign in the relevant boxes with which Exchange you wish to trade. The Exchange not chosen should be struck off by the client.

	Signature		Signature
<input type="checkbox"/> MCX	X _____	<input type="checkbox"/> NCDEX	X _____

C. OTHER DETAILS

gross Annual Income details (please specify):

Income Range per annum: Below ` 1 Lac ` 1-5 Lac ` 5-10 Lac ` 10-25 Lac > ` 25 Lacs

Net-worth as on (date) _____ (Net worth should not be older than 1 year)

Occupation (please tick any one and give brief details):
 Private Sector Public Sector Government Service Business
 Professional Farmer Others (Specify)please tick, if applicable: Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)

Any other information:

d. BANK ACCOUNT(S) DETAILS

bank Name

branch address

bank Account No.

Account Type: saving Current Others

mICR Number

IfsC code

Provide a copy of cancelled cheque leaf/ pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank.

E. DEPOSITORY ACCOUNT(S) DETAILS

depository participant Name

depository Name (Nsdl/Cdsl)

Beneficiary name

dp Id

Beneficiary ID (BO ID)

Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

f. PURPOSE OF TRADING: Hedging Investment Others (Specify)**g. INVESTMENT/TRADING EXPERIENCE** No Prior Experience _____ Years in Commodities _____ Years in other investment related fields**h. SALES TAX REGISTRATION DETAILS**

Local Sales Tax State Registration No.:

Validity Date :

Name of the State

Central Sales Tax: Registration No:

Validity Date :

Name of the State

Other Sales Tax: Registration No:

Validity Date :

Name of the State

I. VAT DETAILS (AS APPLICABLE, STATE WISE)

Local VAT Registration No.

Validity Date

Name of the State

Other VAT Registration No.

Validity Date

Name of the State

J. PAST REGULATORY ACTIONS

details of any action/proceedings initiated/pending/ taken by fmC/ sEbl / stock exchange / Commodity exchange/ any other authority against the client dealing in commodities during the last 3 years:

k. DEALINGS THROUGH AUTHORIZED PERSONS AND OTHER MEMBERS :

If client is dealing through the Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :

member's / Ap's Name:	
Exchange:	
Exchange's Registration number:	
Concerned member's Name with whom the Ap is registered:	
Registered office address:	

ph :		fax :	
-------------	--	--------------	--

Email:		website	
---------------	--	----------------	--

Client Code:	
---------------------	--

details of disputes/dues pending from/to such member/Ap:

I. ADDITIONAL DETAILS

<ul style="list-style-type: none"> • Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): 	
<ul style="list-style-type: none"> • If ECN has been selected, provide your Email id: 	
<ul style="list-style-type: none"> • If you wish to receive Electronic Contract Note (ECN), an 'ECN declaration form' via email would need to be provided as per the format and procedure given at Appendix A. 	
<ul style="list-style-type: none"> • The ECN declaration form should normally be in English. In case you are not conversant with the English language, the ECN form should be bi-lingual i.e., in English and the local language known to you. 	
<ul style="list-style-type: none"> • You can revoke the ECN facility and opt for the contract note in the physical form only by giving 7 working days' notice to the member and copy of the same would be retained by you. 	
<ul style="list-style-type: none"> • Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): 	
<ul style="list-style-type: none"> • Any other information 	

m. INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer:			
	(Surname)	(Name)	(Middle Name)
status of the Introducer:	<input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify		
Address and phone no. of the Introducer			
signature of the Introducer			

N. NOMINATION DETAILS

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee:												
Relationship with the Nominee:												
pAN of Nominee:											date of birth of Nominee:	
Address and phone no. of the Nominee:												
If Nominee is a minor, details of guardian:												
Name of guardian:												
Address and phone no. of guardian:												
signature of guardian												

WITNESSES (ONLY APPLICABLE IN CASE THE ACCOUNT HOLDER HAS MADE NOMINATION)

Name		Name	
signature		signature	
Address		Address	

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
- I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. 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 Member's designated website, if any.

place : _____

date : _____

x _____

signature of Client



Jambuwa Commodities Pvt. Ltd.
 Regd Office : 405/406, Iscon Avenue,
 Opp. Choice Restaurant, Swastik Cross
 Road, Ahmedabad, Gujarat - 380 009.
 Tel: 079-2656 4165 Fax: 079-2656 4165
 Website : www.jambuwa.com

Application No. _____

Client Code issued _____

Member of : Multi Commodity Exchange Limited (MCX) & National Commodity & Derivatives Exchange Limited (NCDEX)

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Registration No.	MCX :	NCDEX
	MEMBERSHIP ID – 11390	MEMBERSHIP ID - 00849

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

X1

(This information is the sole property of the trading member / brokerage house and would not be disclosed to anyone unless required by law or except with express permission of client)

We request you to register us as your client. The details of registration is as under

Please fill this form in ENGLISH and in BLOCK LETTERS.

TRADING PREFERENCES

*Please sign in the relevant boxes with which Exchange you wish to trade. The Exchange not chosen should be struck off by the client.

	Signature		Signature
<input type="checkbox"/> MCX	X _____	<input type="checkbox"/> NCDEX	X _____

A. IDENTITY DETAILS

1. NAME OF THE APPLICANT : _____

2. DATE OF INCORPORATION : D D - M M - Y Y Y Y

3. DATE OF COMMENCEMENT OF BUSINESS: _____ - M M - Y Y Y Y

4. A. PAN: _____

B. REGISTRATION NO. (E.G. CIN): _____

5. STATUS (PLEASE TICK ANY ONE): Private Limited Co. Public Ltd. Co. Body Corporate Partnership
 Trust HUF LLP Others (please specify)

(In case of foreign entity or entity with foreign shareholders, self certified copy of statutory approval obtained must be attached)

b. ADDRESS DETAILS

Address for correspondence: _____ _____ _____ Landmark _____ City / District / Village: _____ _____ Pin _____ Code _____ State _____ Country _____ Contact details: Tel. (Off) _____ _____ Tel. (Off) _____ _____ Tel. (Res) _____ Fax _____ Mobile _____ Email _____ ID _____ _____ specify the proof of	Registered Address _____ _____ Landmark _____ City / District / Village: _____ _____ Pin _____ Code _____ State _____ _____ Country__ Contact details: Tel. (Off) _____ _____ Tel. (Off) _____ _____ Tel. (Res) _____ Fax _____ Mobile _____ Email _____ ID _____
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C. OTHER DETAILS

gross Annual Income details (please specify):

Income Range per annum:

 Below ` 1Lac ` 1-5Lac 5-10Lac ` 10-25Lac ` 25Lacs-1crore > ` 1 crore

Net-worth as on (date)

(Net worth should not be older than 1 year)

please tick, if applicable:

 Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)**NAME, PAN, RESIDENTIAL ADDRESS AND PHOTOGRAPHS OF PROMOTERS/PARTNERS/KARTA/TRUSTEES AND**

Name		Name		Name	
Residence Address		Residence Address		Residence Address	
PAN No.		PAN No.		PAN No.	
DIN/UID No.		DIN/UID No.		DIN/UID No.	
Photograph	Affix recent passport size photograph	Photograph	Affix recent passport size photograph	Photograph	Affix recent passport size photograph
Signature		Signature		Signature	

please tick, if applicable, for any of your authorized signatories/
promoters/partners/karta/Trustees/whole time directors: politically Exposed person (pEp) Related to a politically Exposed person (pEp)

Any other information:

d. BANK ACCOUNT(S) DETAILS

bank Name

branch address

bank Account No.

Account Type:

 saving Current Others

mICR Number

IfsC code

Provide a copy of cancelled cheque leaf/ pass book/bank statement specifying name of the client, MICR Code or/and IFSC Code of the bank.

E. DEPOSITORY ACCOUNT(S) DETAILS

depository participant Name

depository Name (Nsdl/Cdsl)

Beneficiary name

dp Id

Beneficiary ID (BO ID)

Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

f. PURPOSE OF TRADING:			
<input type="checkbox"/> Hedging	<input type="checkbox"/> Investment	<input type="checkbox"/> Others (Specify)	
g. INVESTMENT/TRADING EXPERIENCE			
<input type="checkbox"/> No Prior Experience	_____ Years in Commodities	_____ Years in other investment related fields	

h. SALES TAX REGISTRATION DETAILS			
Local Sales Tax State Registration No.:		Validity Date :	
Name of the State			
Central Sales Tax: Registration No:		Validity Date :	
Name of the State			
Other Sales Tax: Registration No:		Validity Date :	
Name of the State			

i. VAT DETAILS (AS APPLICABLE, STATE WISE)			
Local VAT Registration No.		Validity Date :	
Name of the State			
Other VAT Registration No.		Validity Date :	
Name of the State			

J. PAST REGULATORY ACTIONS			
<p>details of any action/proceedings initiated/pending/ taken by fmc/ sebi / stock exchange / Commodity exchange/ any other authority against the client dealing in commodities during the last 3 years:</p>			

k. DEALINGS THROUGH AUTHORIZED PERSONS AND OTHER MEMBERS :			
<p>If client is dealing through the Member / Authorized Person (AP), provide the following details (incase dealing with multiple Members/APs, provide details of all in a separate sheet containing all the information as mentioned below) :</p>			
Member's / Ap's Name:			
Exchange:			
Exchange's Registration Number:			
Concerned Member's Name With Whom The Ap Is Registered:			
Registered Office Address:			
Ph :		Fax	
Email:		Website	
Client Code:			
Details Of Disputes/Dues Pending From/To Such Member/Ap:			

L ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify):
- If ECN has been selected, provide your Email id:
- If you wish to receive Electronic Contract Note (ECN), an 'ECN declaration form' via email would need to be provided as per the format and procedure given at Appendix A.
- The ECN declaration form should normally be in English. In case you are not conversant with the English language, the ECN form should be bi-lingual i.e., in English and the local language known to you.
- You can revoke the ECN facility and opt for the contract note in the physical form only by giving 7 working days' notice to the member and copy of the same would be retained by you.
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):
- Any other information

M INTRODUCER DETAILS (OPTIONAL)

Name of the Introducer:

(Surname)

(Name)

(Middle Name)

status of the Introducer:

 Authorized Person Existing Client Others, please specify

Address and phone no. of the Introducer

signature of the Introducer

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. 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 Member's designated website, if any.

place : _____

date : _____

x _____
signature of (all) Authorized signatory (ies)*

*Form need to be signed by all the authorized signatories

DECLARATION FOR IN-ABILITY TO PRODUCE MOBILE BILL

I _____ hereby confirm that the mobile number _____ belongs to me only and I am unable to produce the mobile bill for the same due to the below mentioned reason:

I have a prepaid connection and thereby no bill available

The connection is provided by the company and hence Mobile bill also comes in the name of the company

Mobile bill is in the name of my spouse/other relative (kindly specify relation) _____

other (kindly specify)

X _____
signature

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

	Documents verified with Originals
Name of the Employee	
Employee Code	
Designation of the employee	
Date	
Signature	

I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/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.

Date _____

Seal/Stamp of the Member

TYPES OF ENTITY	DOCUMENTARY REQUIREMENTS
CORPORATE	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</p> <p>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</p> <p>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</p> <p>Copies of the Memorandum and Articles of Association and certificate of incorporation.</p> <p>Copy of the Board Resolution for investment in securities market.</p> <p>Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.</p>
PARTNERSHIP FIRM	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Certificate of registration (for registered partnership firms only).</p> <p>Copy of partnership deed.</p> <p>Authorised signatories list with specimen signatures.</p> <p>Photograph, POI, POA, PAN of Partners.</p>
TRUST	<p>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</p> <p>Certificate of registration (for registered trust only).</p> <p>Copy of Trust deed.</p> <p>List of trustees certified by managing trustees/CA.</p> <p>Photograph, POI, POA, PAN of Trustees.</p>
HUF	<p>PAN of HUF.</p> <p>Deed of declaration of HUF/ List of coparceners.</p> <p>Bank pass-book/bank statement in the name of HUF.</p> <p>Photograph, POI, POA, PAN of Karta.</p>
UNINCORPORATED ASSOCIATION OR A BODY OF INDIVIDUALS	<p>Proof of Existence/Constitution document.</p> <p>Resolution of the managing body & Power of Attorney granted to transact business on its behalf.</p> <p>Authorized signatories list with specimen signatures.</p>
ARMY/ GOVERNMENT	<p>Self-certification on letterhead.</p> <p>Authorized signatories list with specimen signatures.</p>
REGISTERED SOCIETY	<p>Copy of Registration Certificate under Societies Registration Act.</p> <p>List of Managing Committee members.</p> <p>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</p> <p>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</p>

RISK DISCLOSURE DOCUMENT

The Exchange /Forward Markets Commission (FMC) does not singly or jointly, expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange /FMC endorsed or passed any merits of participating in the Commodity Derivatives market/trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the contractual relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that investment in commodity futures contracts/ derivatives or other instruments traded on the Commodity Exchange(s), which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/ or trading experience and low risk tolerance. You should, therefore, carefully consider whether such trading is suitable for you in the light of your financial condition. In case, you trade on the Exchange and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange, its Clearing House and/ or Forward Markets Commission shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Client shall be solely responsible for the consequences and no contract can be rescinded on that account.

You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a commodity derivatives being traded on the Exchange.

It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form, client registration form, execution of an agreement etc. and are subject to Rules, Byelaws and Business Rules of the Exchange and its Clearing Corporation/Clearing House, guidelines prescribed by FMC from time to time and circulars as may be issued by the Exchange or its Clearing Corporation/Clearing House from time to time.

The Exchange does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must

not be construed as business advice/investment advice.

No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade, you should be aware of or must get acquainted with the following:-

1 basic Risks involved in the trading of Commodity futures Contracts and other Commodity derivatives Instruments on the Exchange.

i. Risk of higher Volatility

a. Volatility refers to the dynamic changes in price that commodity derivative contracts undergo when trading activity continues on the Commodity Exchange. Generally, higher the volatility of a commodity derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded commodity derivatives contracts than in actively traded commodities/ contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in real losses.

ii. Risk of lower liquidity

a. Liquidity refers to the ability of market participants to buy and/ or sell commodity derivative contract expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/ or sell commodity derivatives contracts swiftly and with minimal price difference and as a result, investors are more likely to pay or receive a competitive price for commodity derivative contracts purchased or sold. There may be a risk of lower liquidity in some commodity derivative contracts as compared to active commodity derivative contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be execute at all.

b. Buying/ Selling without intention of giving and/ or taking delivery of certain commodities may also result into losses, because in such a situation, commodity derivative contracts

may have to be squared-off at a low/ high prices, compared to the expected price levels, so as not to have any obligation to deliver/ receive such commodities.

iii. Risk of wider spreads

- a. Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a commodity derivative and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid commodities/ commodity derivatives contracts. This in turn will hamper better price formation.

iv. Risk-reducing orders

- a. Most of the Exchanges have a facility for investors to place “limit orders”, “stop loss orders” etc. Placing of such orders (e.g. “stop loss” orders or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.
- b. A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that commodity derivatives contract.
- c. A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the client received price protection, there is a possibility that the order may not be executed at all.
- d. A stop loss order is generally placed “away” from the current price of a commodity derivatives contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a

contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

v. Risk of News Announcements

- a. Traders/Manufacturers make news announcements that may impact the price of the commodities and/or commodity derivatives contracts. These announcements may occur during trading and when combined with lower liquidity and higher volatility may suddenly cause an unexpected positive or negative movement in the price of the commodity/ commodity derivatives contract.

vi. Risk of Rumours

- a. Rumours about the price of a commodity at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors should be wary of and should desist from acting on rumours

vii. System Risk

- a. High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.
- b. During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.
- c. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a commodity due to any action on account of unusual trading activity or price hitting circuit filters or for any other reason.

viii. system/ Network Congestion

- a. Trading on the Exchange is in electronic mode, based on satellite/ leased line communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond the control

of and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as futures Commodity derivatives are concerned, please note and get yourself acquainted with the following additional features:-

Effect of “leverage” or “gearing”:

- a. The amount of margin is small relative to the value of the commodity derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Commodity Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the principal investment amount. But transactions in commodity derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in commodity derivatives contracts and also trade with caution while taking into account one’s circumstances, financial resources, etc.
- b. Trading in Futures Commodity Derivatives involves daily settlement of all positions. Every day the open positions are marked to market based on the closing price. If the closing price has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This margin will have to be paid within a stipulated time frame, generally before commencement of trading on the next day.
- c. If you fail to deposit the additional margin by the deadline or if an outstanding debt occurs in your account, the Member of the Exchange may liquidate/square-up a part of or the whole position. In this case, you will be liable for any losses incurred due to such square-up/ Close Outs.
- d. Under certain market conditions, an Investor may find it difficult or impossible to execute the transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.
- e. Steps, such as, changes in the margin rate, increase in the cash margin rate etc. may be adopted in order to maintain market stability. These new measures may be applied to the existing open interests. In such conditions, you will be required to put up additional margins or

reduce your positions.

- f. You must ask your Member of the Exchange to provide the full details of the commodity derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

3. Trading Through Wireless Technology OR Any Other Technology:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the stock broker.

4. general

i. deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be prorated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, By-laws and Business Rules of the Exchange.

ii. Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

iii. For rights and obligations of the Members/ Authorised Persons/ clients, please refer page 20 to 24.

iv. The term Constituent shall mean and include a Client, a Customer or an Investor, who deals with a member for the purpose of trading in the commodity derivatives through the mechanism provided by the Exchange.

v. The term member shall mean and include a Trading Member or a Broker, who has been admitted as such by the Exchange and got a Unique Member Code from FMC.

X _____
signature

RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS AS PRESCRIBED BY FMC AND COMMODITY EXCHANGES

1. The client shall invest/trade in those commodities / contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Business Rules / Regulations of Exchanges/ Forward Markets Commission (FMC) and circulars/notices issued there under from time to time.
 2. The Member, Authorized Person and the client shall be bound by all the Rules, Byelaws and Business Rules of the Exchange and circulars/notices issued there under and Rules and Regulations of FMC and relevant notifications of Government authorities as may be in force from time to time.
 3. The client shall satisfy itself of the capacity of the Member to deal in commodities and/or deal in derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
 4. The Member shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
 5. The Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
 6. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).
- provide/update the financial information to the Member on a periodic basis.
10. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.

Margins

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange or as may be directed by FMC from time to time as applicable to the segment(s) in which the client trades. The Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/ Clearing Corporation or FMC) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

Transactions And Settlements

- Client Information**
7. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by commodity exchanges/FMC from time to time.
 8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory, as per terms & conditions accepted by the client.
 9. The client shall immediately notify the Member in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall
13. The client shall give any order for buy or sell of commodities derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
 14. The Member shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant commodity exchange where the trade is executed.
 15. The Member shall ensure that the money deposited by the client shall be kept in a separate account, distinct

from his/its own account or account of any other client and shall not be used by the Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, circulars, notices, guidelines of FMC and/or Rules, Business Rules, Byelaws, circulars and notices of Exchange.

16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, Member shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Business Rules and circulars/notices issued there under of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Business Rules of the Exchanges and the circulars/notices issued there under.

Brokerage

18. The Client shall pay to the Member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Business Rules and Bye-laws of the relevant commodity exchanges and/or Rules of FMC.

Liquidation And Close Out Of Position

19. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring commodities which the client has ordered to be bought or sold, Member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from.

The client shall note that transfer of funds/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.

Dispute Resolution

21. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
22. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Business Rules of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
23. The Member shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
24. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.

Termination Of Relationship

25. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.
26. The Member, Authorized Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
27. In the event of demise/insolvency of the Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Authorized Person by the commodity exchange and/or termination of the agreement with the Authorized Person by the Member, for any reason whatsoever, the client shall

be informed of such termination and the client shall be deemed to be the direct client of the Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

Additional Rights And Obligations

28. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Business Rules, Bye Laws, Circulars, Notices and Guidelines issued by FMC and the relevant Exchanges where the trade is executed.
29. The Member shall issue a contract note to his clients for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The Member shall send contract notes to the investors within 24 hours of the execution of the trades in hard copy and/or in electronic form using digital signature.
30. The Member shall make pay out of funds within 48 hours or delivery of commodities as per the Exchange Rules, Bye-Laws, Business Rules and Circulars, as the case may be, to the Client on receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
31. The Member shall send a complete 'Statement of Accounts' for both funds and commodities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement immediately but not later than 30 calendar days of receipt thereof, to the Member. A detailed statement of accounts must be sent every month to all the clients in physical form. The proof of delivery of the same should be preserved by the Member.
32. The Member shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized

and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee, warehouse receipts, securities etc.

33. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.
34. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that you lodge a claim with the Exchange or its Clearing Corporation / Clearing House within the stipulated period and with the supporting documents.

Electronic CONTRACT Notes (ECN)

35. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Appendix A of Annexure 1). Member shall ensure that all the rules/ Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
36. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
37. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.
38. The Member shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/circulars/guidelines issued by FMC/Commodity exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by

the Member for the specified period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The Member shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant rules/circulars/guidelines issued by FMC/Commodity exchanges.

39. The Member shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the Member shall send a physical contract note to the client within the stipulated time under the extant Regulations/ Rules, Bye-Laws, Business Rules and Circulars of FMC/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
40. In addition to the e-mail communication of the ECNs to the client, the Member shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.
41. The Electronic Contract Note (ECN) declaration form will be obtained from the Client who opts to receive the contract note in electronic form in place of physical contract note. This declaration will remain valid till it is revoked by the client.

Law And Jurisdiction

42. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules of FMC.

43. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by FMC and Circulars, Rules, Business Rules and Bye laws of the relevant commodity exchanges, where the trade is executed, that may be in force from time to time.
44. The Member and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal, if either party is not satisfied with the arbitration award.
45. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations/Business Rules and circulars/notices issued thereunder of the Exchanges/FMC.
46. All additional voluntary clauses/document added by the Member should not be in contravention with Rules/ Business Rules/ Notices/ Circulars of Exchanges/ FMC. Any changes in such voluntary clauses/ document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/FMC shall also be brought to the notice of the clients.
47. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of FMC or Bye-laws, Rules and Business Rules of the relevant commodity exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBER TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable.

Additionally, the clauses mentioned herein shall also be applicable.)

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

GUIDANCE NOTE - DO'S AND DON'TS FOR THE CLIENTS

DO'	DON'T
1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link http://www.mcxindia.com/SitePages/MembersDetails.aspx to see whether the Member is registered with the Exchange.	1. Do not deal with any unregistered intermediaries.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading	2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.	3. Do not enter into assured returns arrangement with any Member
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.	4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Obtain a copy of your KYC, Member-Client Agreement and/ or other documents executed by you with the Member, from the Member.	5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Cross check the genuineness of trades carried out at the Exchange through the trade verification facility available on the Exchange website at the following link http://www.mcxindia.com/SitePages/TradeVerification.aspx . The trades can be verified online where trade information is available up to 5 working days from the trade date.	6. Do not start trading before reading and understanding the Risk Disclosure Agreement and entering into the prescribed agreement with the Member.
7. Insist on a duly signed Contract Note in specified format for every executed trade within 24 hours of trade, highlighting the details of the trade along with your UCC.	7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Ensure that the Contract Note contains all the relevant information such as Member Registration Number, Order No., Order Date, Order time, Trade No., Trade rate, Quantity, Arbitration Clause, etc.	8. Do not accept unsigned/duplicate contract note/ confirmation memo.
9. Obtain receipt for collaterals deposited with the Member towards margins.	9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities and details of Client-Trading Member Agreement to know your rights and duties vis-à-vis those of the Member.	10. Don't share your internet trading account's password with anyone
11. Ask all relevant questions and clear your doubts with your Member before transacting.	11. Do not delay payment/deliveries of commodities to Member.
12. Insist on receiving the bills for every settlement.	12. Do not forget to take note of risks involved in the investments.
13. Insist on Monthly statements of your ledger account and report any discrepancies in the statement to your Member within 7 working days. In case of unsatisfactory response report the discrepancy to the Exchange within 15 working days from the date of cause of action.	13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities deposits and/or keep them with Depository Participants (DP) or broker to save time.
	14. Do not pay brokerage in excess of that rates prescribed by the Exchange
	15. Don't issue cheques in the name of Authorized Person.

GUIDANCE NOTE - DO'S AND DON'TS FOR THE CLIENTS

DO'	DON'T
<p>14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.</p> <p>15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.</p> <p>16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.</p> <p>17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.</p> <p>18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.</p> <p>19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.</p> <p>20. Understand and comply with accounting standards for derivatives.</p> <p>21. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and the Member cannot be changed without your consent.</p> <p>22. Get a clear idea about all brokerage, commissions, fees and other charges levied by the Member on you for trading and the relevant provisions/ guidelines specified by FMC/Commodity exchanges.</p> <p>23. Make the payments by account payee cheque in favour of the Member. Ensure that you have a documentary proof of your payment/deposit of commodities with the Member, stating date, commodity, quantity, towards which bank/ demat account such money or commodities (in the form of warehouse receipts) deposited and from which bank/ demat account.</p> <p>24. In case you have given specific authorization for maintaining running account, payout of funds or delivery of commodities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the Member shall maintain running account for you subject to the following conditions:</p> <p style="margin-left: 20px;">a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.</p>	

GUIDANCE NOTE - DO'S AND DON'TS FOR THE CLIENTS

DO'	DON'T
<p>b) You need to bring any dispute arising from the statement of account to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Commodity exchanges without delay.</p> <p>c) In case you have not opted for maintaining running account and pay-out is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Commodity exchange.</p> <p>d) Please register your mobile number and email id with the Member, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.</p> <p>25. You should familiarize yourself with the protection accorded to the money or other property you may deposit with your member, particularly in the event of a default in the commodity derivatives market or the member becomes insolvent or bankrupt.</p> <p>26. Please ensure that you have a documentary proof of having made the deposit of such money or property with the member, stating towards which account such money or property deposited.</p> <p>27. In case your issue/problem/grievance is not being sorted out by concerned Member/Authorised Person then you may take up the matter with the concerned Commodity exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to FMC.</p>	

BROKERAGE TARIFF DETAILS

GENERAL BROKERAGE RATES

Mention On Percentage Or Paisa Very Clearly	Trading/ Intra-Day First Leg-Second	Minimum (Mention On Percentage)	Delivery Carry Forward	Minimum (Mention On Percentage)	Statutory Levies & Charge
Ncdex	0.03 %	0.03 Paisa			
Mcx	0.03 %	0.03 Paisa			

SPECIAL BROKERAGE RATES

Mention On Percentage Or Paisa Very Clearly	Trading/ Intra-Day First Leg-Second	Minimum (Mention On Percentage)	Delivery Carry Forward	Minimum (Mention On Percentage)	Statutory Levies & Charge
Ncdex					
Mcx					

Note :

1. The above rates are exclusive of Stamp Duty, Transaction Tax and Service Tax which will be charged extra at the rate prevailing from time to time.
2. The General Rates as mentioned here shall be applied unless the Special Rates as may be agreed by the Client and the same are mentioned above.
3. Minimum contract charges of ` 35/- will be levied for Physical Contract Note if brokerage generated per contract is less than ` 35/-. (No such minimum charge in case of ECN).
4. Any request for additional copies of statements besides the scheduled dispatch will be charged at ` 150/- for 30 days of statement.
5. We may charge you a different rate of brokerage for specific transaction(s) upon verbal/written consent.

X _____
signature

Account Opening Form supplement - FATCA (Individuals)

To,
Jambuwalā Commodities Private limited (JCPL)
405/406, Iscon Avenue,
Opp. Choice Restaurant,
Swastik Cross Road,
Ahmedabad (Guj.)-380 009.

PLEASE FURNISH THE BELOW INFORMATION
ALONG WITH SUPPORTING DOCUMENTS

Name

Country of Residence

Country of Birth

Please check () Yes or No to each of the following questions : -

1. Are you a U. S. Resident? Yes No
2. Are you a U. S. Citizen? Yes No
3. Do you hold a U.S. Permanent Resident Card (Green Card Holder)? Yes No
4. If answer to any of the questions from 1 to 3 is Yes then please provide you Tax Identification Number which is your Social Security Number in Form W9 Yes No

I hereby confirm that the information provided above is true, accurate and complete.

Subject to applicable laws I hereby consent for " **Jambuwalā Commodities Private limited (JCPL)** " or any of its affiliates (including branches) (" **Jambuwalā Commodities Private limited (JCPL)** ") to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in my jurisdiction.

Where required by the domestic or overseas regulators or tax authorities, I consent and agree that " **Jambuwalā Commodities Private limited (JCPL)** " may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

I undertake to notify " **Jambuwalā Commodities Private limited (JCPL)** " within 30 calendar Days if there is any change in information which I have provided to **JCPL**.

X _____

(Client Signature)

Date _____

NON-MANDATORY



ADDENDUM TO THE AGREEMENT BETWEEN CONSTITUENT AND MEMBER FOR NCDEX/MCX

Whereas:

JCPL offers online trading services, referred as e-broking to the constituent, subject to the terms of the present agreement and the FMC guidelines in this regard. This service will be provided through jambuwala's website <http://trade.clicknetworthstock.com> and alternatively through a link from www.networthstock.com

Definition :

"Gateway" means and refers to the internet facility provided to the constituent to transfer monies / securities online to JCPL towards meeting the constituent's margin / settlement obligations.

The services shall be extended by JCPL pursuant to its continuous adherence to exchange regulations, including any permission required therein.

Terms And Conditions

Registration, User Name And Password:

- 1 The constituent hereby expresses his / her / their intent to use the online trading platform or interface to transact in commodity market and commodity derivatives segments. It is further agreed that the constituent shall pay to JCPL such charges as may be communicated by JCPL for extending online trading platform / interface.
- 2 As part of the registration process, constituent will be assigned a User Name and Password for accessing the above services on the said website. JCPL reserve the right to refuse / grant the constituent a User Name if the username is fictitious, or an impersonation of someone else, illegal, protected by a trade mark, copy right or other legal proprietary right, vulgar, obscene or offensive in any way, or may cause confusion to other participants of the website.
- 3 The constituent shall ensure that such password is kept in a secure manner. JCPL does not have access to such password. Constituent shall bear all responsibility of keeping the password secure and in the event that the Constituent incurs any liability to JCPL or any other third party as a result of the password being used by third parties, or due to improper use of the password, constituent shall, without limitation, bear all such liability.
- 4 Notwithstanding anything contained herein, in the event any liability arising to the constituent as a consequence of any of JCPL's employees accessing the constituent's password without authorisation, the same shall be

borne by the constituent.

Bank Account(S) (As And When Applicable):

- 5 The constituent agrees to open and maintain bank account(s) with the designated bank(s), with whom JCPL has entered into an agreement with respect to online trading services.
- 6 The bank accounts so maintained will be used by the constituent for effecting funds transfers to JCPL and such transfers shall be facilitated through the online payment gateway between the bank (server) and the member (server).
- 7 The usage of the payment gateway by the constituent and the member shall be governed by the terms and procedure as stipulated by the bank. JCPL is a mere facilitator of such gateway.
- 8 JCPL shall permit the Constituent the use of banking facilities other than online payment gateway(s) or online transfer(s) mentioned above subject to reasonable time being available for JCPL to record the Constituent's deposit towards meeting Constituent's margin / settlement obligations.

Depository Account(S) (Dp)(As And When Applicable):

- 9 The constituent agrees to open and maintain DP (Demat) Account with JCPL and/or with JCPL designated DP for purpose of seamless trading and settlement.
- 10 JCPL at its discretion shall permit the use of a DP other than JCPL, subject to the provisioning of a DP Gateway and provided JCPL as a broker has sufficient time to record constituent's transfer of commodities towards meeting the constituent's obligations.

Disclaimer Of Warranties :

- 11 Constituent agrees that use of the Service is at constituent sole risk. JCPL shall be not responsible or liable for the authenticity, accuracy, completeness, errors, omission, typographic errors, disruption, delay, interruption, failure, deletion, defect of any information, research, reports, analysis, quotes etc. in the web site or any part thereof.
- 12 The web site should not be construed to be an advertisement for solicitation for buying or selling of any securities. JCPL shall not be responsible for any liability incurred to the constituent as a consequence of the constituent making any investment decision taken on the basis of the information, research, reports, analysis, quotes, etc. provided on the web site.

x _____
signature

- 13 JCPL warrants that it does not provide any investment advice on this web site. JCPL does not warrant accuracy of any feed from the stock exchanges or any other party. However JCPL, as its obligations ensures and has put requisite and approved systems at its end to avoid errors and disruptions JCPL shall not incur any liability direct or indirect, to the constituent or any third party, as a Consequence of equipment, howsoever defined, of any stock exchange, JCPL, Internet service provider, constituent or any third party not functioning in such manner as reasonably expected of such equipment. JCPL shall not be responsible for any down time of such equipment.
- 14 The Service is warranted only according to this Terms and Conditions. The service is provided on "as is" and "as available" basis. Except as warranted in this Terms and Conditions JCPL, expressly disclaims, all warrants of any kind, whether express or implied or statutory, including, but not limited to the implied warranties of merchantability, fitness for a particular purpose, data accuracy and completeness, and any warranties relating to viruses and non-infringement in the Service.
- 15 Constituent warrants that they shall obtain independent investment advice before any investment made via JCPL.

Limitation of liability:

- 16 Constituent agrees that neither JCPL nor its directors or employees, associates or other representatives, agents, and or subsidiaries shall be liable for any direct, indirect, incidental, special or consequential damages, (including, but not limited to damages caused by personal injury, virus, loss of profits, use, data or other intangible, business interruption, loss of privacy or any other pecuniary loss) resulting from the use/ delivery / performance or the inability to use/ deliver / perform the Service or for cost of procurement of substitute goods and repair and correction services or resulting from the Service subscribed to or obtained or messages received or transactions entered into through or of User's transmissions or data, even if JCPL or its employees have been advised of the possibility of such damages.
- 17 Constituent further agrees that JCPL shall not be liable for any damages arising from interruption, suspension or termination of service, including but not limited to direct, indirect, incidental, special, consequential or exemplary damages, whether such interruption, suspension or termination was justified or not, negligent or intentional, inadvertent or advertent.

- 18 In no event will JCPL'S liability for any claim, whether in contract, tort or any other theory of liability, exceed the greater of the amount actually paid by the constituent for subscribing to the Service, if applicable.

Copyright, Trade Marks :

- 19 All the trademark, logos and service marks, information and content provided on JCPL's web site including its design structure and compilation are privately owned Intellectual Property Rights of either JCPL and or its affiliates, agents, associates, subsidiaries and or otherwise permitted by JCPL to advertise on JCPL's web site. Unless otherwise noted constituent shall not copy, download or and print documents from JCPL's web site for any commercial purposes and shall not post, distribute transmit display publish sell or modify them or remove any copyright trade mark or other proprietary notices. For permission to use third party materials appearing on JCPL's web site, please contact the copyright owner.

General :

- 20 On-line trading is subject to such rules and regulations as are prescribed by the FMC from time to time. Residents of countries other than India shall use the Service only to the extent the domestic laws of such countries permit them to use the Service. All constituent of the Service in countries other than India understand that by using the Service, they may be violating the local laws in such countries. These constituent agree that they will solely be liable for any liability incurred by them in this regard and will indemnify JCPL for any liability JCPL may incur in any foreign jurisdiction as a consequence of citizens/ residents of countries other than India using the Service.
- 21 Without prejudice to the member's other right (including the right to refer a matter to arbitration), the member shall be entitled to liquidate all or any of the constituent's positions for non payment of margins or other amounts outstanding debts, etc. and adjust the proceeds of such liquidation, if any against the constituent's liabilities / obligation. The member reserves the right to decide upon the threshold limits for liquidation of constituent's positions. The constituent understands and agrees to the member communicating such threshold limits periodically, orally and/or through emails, written correspondences. Any and all losses and financial charges on account of such liquidation shall be charged to and borne by the constituent.

X _____
signature

Date _____
DD/MM/YYYY

AUTHORISATION FOR ADJUSTMENT OF AMOUNTS/BALANCES AND RETAINING & UTILISATION OF CREDITS OF FUNDS & COMMODITIES

I / We hereby authorize JCPL for the following with regard to my / our broking account for transactions in the commodities spot and derivatives market segments of NCDEX and MCX where JCPL holds membership:

- 1 To effect transfer of my / our credit balances in the Derivative market segment of NCDEX to the ledger or credit of the Derivatives segment of MCX and vice-versa to meet the margin and / or settlement obligations on my / our account(s) as necessitated.
- 2 To retain settlement credits in my / our account and to settle / release the credits or any such amount only on receipt of specific advice / instruction from me / us or my / our authorized representative. Such instruction can either be oral or in writing.
The above is applicable to both funds and securities / commodities.
- 3 To retain and utilize the financial ledger credits (amounts) towards my / our obligations arising of trades executed through JCPL at any exchange-segments in my / our account.
- 4 To retain and utilize the securities / commodities balances so being held on my / our behalf towards deposits for making requisite trading and exposure limits available to me / us and / or towards upfront / initial margins, additional margins, and towards my / our settlement obligations including marked to market losses at any or all exchange-segments. For this purpose JCPL is authorized to transfer / pledge such securities / commodities to clearing corporations, clearing house, exchanges, clearing member, banks, financial institutions, registered non-banking financial companies, companies incorporated under the Indian Companies Act, 1956, and / or to any other entities duly registered with or permitted to operate in the financial markets by regulatory authorities viz. RBI, SEBI, FMC and thereby derive appropriate trading & exposure benefits or realize monies on my / our behalf for adjustment towards any of the above-mentioned requirements.
- 5 I/We further agree that JCPL may in its turn place any of the commodities/warehouse receipts placed by me/us as Margin by way of pledge or hypothecation or margin on my / our behalf with exchanges, banks or other lending institutions to meet my / our obligations, as JCPL may deem fit. I/We authorize JCPL to do all such acts, deeds and things as may be necessary and expedient for the above purpose.
- 6 In the matter of any dispute between JCPL and me/us, I/we shall not have any right to proceed in any manner against the exchanges, banks or other lending institutions in respect of the commodities/warehouse receipts pledged by JCPL, which may or may not concern commodities/warehouse receipts provided by me/us.
- 7 I/We and JCPL hereby agree and confirm that all rights, liabilities and obligations pertaining to the pledged commodities/ warehouse receipts shall be subject to the rights of the exchanges, banks or other lending institutions, in whose favour pledge has been created by JCPL. I/We hereby further agree and confirm that the pledge created in favour of exchanges, banks or other lending institutions by JCPL shall not be released or discharged until repayment of the loan availed by JCPL from exchanges, banks or other lending institutions. I/We shall raise no objection to any action taken by exchanges, banks or other lending institutions against JCPL pursuant to the aforesaid pledge.

I / We have authorized JCPL to retain / utilize credits as mentioned above, for operational convenience. I / We have opted to have settlement of funds & commodities on a periodic basis that shall be suitably informed by me / us / authorized representative to JCPL and not to have a contract-wise / bill-wise / settlement-wise transfer of funds & commodities between me / us and JCPL.

I/We am/are aware that my/our account is maintained on a Running Account Basis and as per the guidelines of SEBI, the actual settlement of funds or securities shall be done by the trading member, atleast once in a calendar quarter / month. I/We hereby declare and authorize JCPL to settle funds/commodities in my/our account on Monthly/quarterly basis.

I / We agree that securities / commodities accepted by JCPL or adjusted from my / our credits with JCPL towards purposes referred above shall stand guided by JCPL terms & conditions of acceptance of collateral. Securities /commodities shall be valued with a haircut on the current market price. JCPL shall have the discretion on the securities / commodities acceptable and also on the ratio of cash and non-cash deposits made by me / us. I / We further agree that any sale of commodities by me / us, already appropriated by JCPL towards providing me / us with any trading / exposure limits / margins, shall be duly intimated by me to JCPL, within stipulated period as specified by the Exchange from time to time. Commodities/ monies already appropriated as mentioned above shall be released to me / us or to meet any exchange obligation only on my / our replenishment of any resultant shortfall in my/our margins.

x _____
signature

I / We agree that no interest will be payable to me / us on the amounts or securities / commodities so retained with JCPL and also on the amounts or securities / commodities so transferred / pledged by JCPL to entities mentioned in point 4 & 5 above. I / We also agree that none of the above overrides JCPL's right to set-off any funds & securities / commodities credits lying in my / our account against my / our debits and dues, settlement or otherwise and also it's right to levy penalty and / or charge interest on debit outstanding in my / our account.

This authorization can be revoked by me/us at any time.

x _____
signature

Date _____
DD / MM / YYYY

DECLARATION BY HUF

Name : _____

Address : _____

Date : _____

To,
Jambuwala Commodities Private Ltd.
405/406 Iscon Avenue, Opp. Choice Restaurant,
Swasik Cross Road, C. G. Road,
Ahmedabad (Gujarat)-380 009.

Dear Sir,

We, _____ the _____ undersigned _____ members _____ of _____ (HUF) are desirous of opening a Trading / Demat Account in the above-mentioned name with you. The said account will be operated by _____ (Karta) on behalf of _____ (HUF).

We hereby undertake that all the transactions undertaken by the said HUF shall be binding not only on the present members of the said joint family (both adults and minors) but also on all future members thereof (both adults and minors) and all persons entitled to a share therein and ourselves personally.

Also that whenever any change occurs in the management or in the constitution of the said joint family of whatsoever nature, we undertake to give notice thereof to you.

sr. No.	Name of member	designation	Relationship	date of birth	signature
1.		Karta			
2.		Co-Parcener			
3.		Co-Parcener			
4.		Co-Parcener			
5.		Co-Parcener			
6.		Co-Parcener			
7.		Co-Parcener			

Thanking you,

Yours faithfully,

X _____

(HUF Stamp & Sign)

ELECTRONIC CONTRACT NOTE [ECN] – DECLARATION

To,
Jambuwala Commodities Private Limited

Dear Sir,

I, _____ a client with Member, Jambuwala Commodities Private Limited of MCX/NCDEX Exchange undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note(s) cum bill / account statements / other relevant documents, I find that it is inconvenient for me to receive physical contract note(s) cum bill / account statements / other relevant documents. Therefore, I am voluntarily requesting for delivery of electronic contract note (s) cum bill / account statements / other relevant documents pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations. My email id is _____. This has been created by me and not by someone else. I am aware that this declaration form should be in English or in any other Indian language known to me.

[The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

(The above lines must be reproduced in own handwriting of the client.)

Client Name	:	
unique Client Code	:	
pAN	:	
Address	:	
signature of the client	: x	_____
date	:	
place	:	

Verification of the client signature done by,	
Name of the designated officer of the Member	:
Signature of the Officer	:
date	:

AUTHORISATION ON ORDERS AND TRADE SLIPS

I am / We are given to understand by JCPL that as per the present commodity exchange regulations, it is required that a member seek order instructions from its constituents in writing. Further, the member is required to provide order confirmation, modification, cancellation and trade confirmation slips to its constituents. I / We assess that this exchange of written confirmation and slips between me / us and JCPL would be time consuming, presumably leading to delayed execution of orders, besides practically inconveniencing me / us in my / our trading operations, especially while transacting over the telephone. I/We hereby authorise JCPL to accept orders from me / my authorised representative / us orally and through any other accepted mode of communication including e-mails etc., and I/We further confirm that receipt of confirmation sheets or oral confirmation from the office of JCPL at the end of the trading day or contracts and bills from JCPL would be sufficient for me / us towards the confirmation of my / our orders placed and trades executed thereof. I/We shall not be requiring the order and trade slips and also agree to informing JCPL on any discrepancy observed in the contracts and bills issued to me / us within 24 hours of their receipt or such extended time permitted by JCPL. I/We take into consideration the fact that JCPL agrees to provide me / us with suitable documents to my / our complete satisfaction, while addressing any discrepancy notified. This authorization can be revoked by me/us at any time.

I/We have read and understood the above contents.

X _____
signature

(MANDATORY, IN CASE OF AN OFFLINE ACCOUNT
IN THE NAME OF A HOUSE-WIFE / HOME-MAKER)

AUTHORITY LETTER IN FAVOUR OF AN AUTHORISED REPRESENTATIVE

Relationship of Account holder with the proposed authorized representative/mandate holder:

_____ (mention on Blood relation / Relative / Friend / Business associate)

I/We, maintaining a broking account with JCPL hereby authorize _____ aged _____ years, S/o. Spouse of _____ and having office / residence address at _____ to operate my / our broking account.

My / Our relationship with the above-mentioned authorized representative is personal / professional. JCPL is authorized to accept orders for execution and instructions towards settlement of funds & commodities if applicable, oral or in writing, in my / our account from the above-mentioned authorized representative. I / We agree to honour all obligations arising out of such orders & instructions from the representative including any penal charges or dues consequent to any actions of the representative in the course of operating the broking account.

I / We hereby accept that confirmation by JCPL to the representative including delivery of contract notes, bills, ledgers and other general information necessitated in carrying out operations in the said account shall be treated as effective and valid discharge of JCPL's obligation to keep me / us posted on the transactions & operations in the account.

I / We further state that this authorization is given by me / us purely out of our choice of convenience. I / We shall not make any claim whatsoever upon JCPL for JCPL standing guided by this authorization in favour of the above-mentioned representative. This authorization can be revoked by me/us at any time.

X _____
Signature

I accept the mandate

(Signature of authorised representative)

Photograph
of authorised
representative

Place _____
Date _____

Encl : 1 . Mandatory ID proof of the authorised representative
2. Address proof of the authorised representative

CLIENT MASTER - FOR USE BY JCPL ONLY

STRICTLY BRANCH REFERENCE

Place _____

Date _____

Authorised Person / Business Associate sharing arrangement details and Sub-brokers (name & code)	
Signature	

BROKERAGE DETAILS - REFER PAGE NO. 28

STRICTLY HO REFERENCE

Initial entries

CALL VERIFICATION	INWARD PARTICULAR	DATAENTRY PARTICULARS	ACCOUNT ACTIVATION	BACK OFFICE
Date _____	Date _____	Date _____	Code Allotted (all segments) _____	Date _____
Time _____	Time _____	Time _____	Date _____	Updated by _____
Sign _____		Sign _____		

PROCEDURE CHECK LIST

<input type="checkbox"/> Call verification of Client	<input type="checkbox"/> Mail sent to Client	<input type="checkbox"/> SMS sent to Client	<input type="checkbox"/> Welcome kit dispatch
--	--	---	---

signature of Back-office Incharge / Compliance Official _____

Change entries Addendums (if any)

BROKERAGE CHANGE RELATED	PERSONAL PARTICULARS RELATED VIZ ADDRESS, DP, BANK CHANGE ETC	RELATION MANAGER CHANGE RELATED
w.e.f. Date _____	w.e.f. Date _____	w.e.f. Date _____
Segment _____	Segment _____	Segment _____
Change details _____	Change details _____	Change details _____

Intimation from Branch by		Receipt mode
document received		
signature of Back-office Incharge		Date :

