

Ganesh Commodities Pvt. Ltd.

**Member : Multi Commodity Exchange of India Ltd.(MCX)
National Commodity & Derivatives Exchange Ltd.(NCDEX)
National Spot Exchange Ltd.(NSEL)**

**MCX, FMC UMC NO. : MCX/TCM/CORP/0099
NCDEX, FMC UMC NO. : NCDEX/TCM/CORP/1041
NSEL, Registration No. : 37500**

CLIENT REGISTRATION FORM FOR

**Individual, HUF, Proprietorship Firm, Partnership Firm, LLP,
Registered Societies, Corporate, Trust, FII, MF, Banks, Other**

CLIENT NAME :
CLIENT CODE NO. :
BRANCH NAME :
AGREEMENT NO. :

Corporate office : Delhi

122, Vinoba Puri, Lajpat Nagar II, New Delhi - 110024
Ph.: 91-11-46740000, Fax: 91-11-46740030,
e-mail : ganeshstock@ganeshstock.com,

Corporate office : Mumbai


271/273, 4th Floor, Mumba Devi Road, Zaveri Bazar, Mumbai - 400002
Ph. : 91-22-22675746, 32424689, 23454428 / 38, Fax : 91-22-23402976
e-mail : brjalan@vsnl.net

Regd. Office :

Flat No. 1, D-77, Shiv Durga Vihar, Lakkarpur, Faridabad-121009 (Haryana)

Website : www.ganeshstock.com

PLEASE READ THE FOLLOWING INSTRUCTIONS

1. Fill all information in CAPITAL LETTERS and complete the Application Form in all respects.
2. Affix (not staple) passport size photograph(s) at the space provided.
3. Full signature wherever  is marked.
4. Original documents will be required for verification at the time of submission of the form.
5. Following documents are to be enclosed with the Application:

Document	Individual	Proprietor-Ship *	Partnership Firm *	HUF*	Corporate*	NRI
Passport Size Photograph(s)	Yes	Yes	All Partners	Karta	All directors and authorized person**	Yes
Photocopy of PAN Card	Yes	Yes	All Partners & Firm	Karta & HUF	All directors, authorized person and company	Yes
Address Proof : Passport, Voter I Card, Driving License, Bank Passbook, Rent Agreement, Flat Maintenance Bill, Telephone Bill, Electricity Bill, Insurance Policy	Yes	Yes	All Partners	Karta	All directors and authorized person	Yes
Copy of Client Master of DP	Yes	Yes	Yes	Yes	Yes	Yes
Latest Bank Statement /cancelled cheque with name printed name	Yes	Yes	Yes	Yes	Yes	Yes
Letter from Banker as per Annexure - 8	Yes	Yes	Yes	Yes	Yes**	Yes
Copy of Income Tax Return	Yes	Yes	Yes	Yes	Yes**	Yes
Annexure	N.A.	Ann.- 6	Annexure - 4	Ann.- 3	Ann.-7	Ann.-5

1. Following additional documents are required to be submitted in case of partnership firm, corporate and NRI applicants, refer Page No. 3 (Instruction / checklist for filling KYC form)

Partnership Firm :

1. Certified copy of Partnership Deed
2. A copy each of Latest Balance Sheet and Income Tax Return for last three financial years
3. List of Partners alongwith with Permanent Residential Addresses.

Corporate:

1. Copies of the balance sheet for the last 3 financial years (copies of annual balance sheet to be submitted every year).
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary / Wholetime Director / MD (Copy of updated shareholding pattern to be submitted every year).
3. Certify Copy of the Memorandum and Articles of Association.
4. List of Directors alongwith Permanent Address.
5. Networth Certificate

NRI :

1. A copy each of Passport, RBI permission and any other documents and clarification required Under the laws.

* All Signature on behalf of Proprietorship / Partnership / HUF / Corporate should be with Rubber Stamp.

** Also give photograph of Shareholders those holding more than 5% in the company, Letter from Bank & ITR required for all Director & Authorised Person

SET OF ACCOUNT OPENING DOCUMENT

Ganesh Commodities Pvt. Ltd.

MEMBER - MCX, NCDEX, NSEL

Multi Commodity Exchange of India Ltd. (MCX), FMC UMC NO. : MCX/TCM/CORP/0099
 National Commodity & Derivatives Exchange Ltd. (NCDEX), FMC UMC NO. : NCDEX/TCM/CORP/1041
 National Spot Exchange Ltd. (NSEL), Registration No. : 37500

Corporate Office :122, Vinoba Puri, Lajpat Nagar II, New Delhi - 110024

Ph.: 91-11-46740000, Fax: 91-11-46740030

E-mail : ganeshstock@ganeshstock.com, Website : www.ganeshstock.com

Regd. Office : Flat No. 1, D-77, Shiv Durga Vihar, Lakkarpur, Faridabad-121009 (Haryana)

Compliance Officer : CEO Name, Phone, e-mail :

Ramesh Goel, Ph.:011- 46740040, goelramesh@ganeshstock.com

S. No.	Name of the Document	Brief Significance of the Document	P.No.
Mandatory Documents as Prescribed By FMC & Exchanges : DOCKET - A			
1.	KYC (Account Opening Application Form)	KYC Form - Document captures the basic information about the constituent and an instruction / check list (For Individuals & Non-Individuals)	4-12
2.	Uniform Risk Disclosure Document(RDD)	Document detailing risks associated with dealing in the commodities market.	13-15
3.	Rights and Obligations of Members, Authorized Persons and Clients	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).	15-18
4.	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	19-20
5.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s) <i>(to be added by the member)</i> .	20
* Voluntary Documents As Provided By The Member : DOCKET - B			
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- **For any grievance/dispute please contact Member : Ganesh Commodities Pvt. Ltd.** at the above address or email id- igc@ganeshstock.com and Phone no. **011-46740013**. In case not satisfied with the response, please contact the concerned exchange(s) as under

Investor Grievance Cell (MCX), Exchange Square, Suren Road, Chakala, Andheri (East), Mumbai - 400093 (India)
Tel. : 022 67318888, e-mail : grievance@mcxindia.com

Investor Grievance Cell (NCDEX), National Commodity & Derivative Exchange Ltd. Akout Corporate Park, 1st Floor, Near G.E.Garden, L.B.S. Marg, Kanjur Marg (West), Mumbai - 400078 (India), Tel. : 022 66406084, Fax : 022 66473201,
E-mail : askus@ncdex.com

National Spot Exchange Ltd. (NSEL), 102A, Landmark, Suren Road, Chakala, Andheri (East), Mumbai - 400093 (India)
Tel. : 022 67619900, Fax : 022-67619931, e-mail : grievances@nationalspotexchange.com

* Following documents should not form part of either mandatory or Voluntary documents :

1. Authorization letter for any inter family / group company / related accounts adjustment.
2. Authorization of adjustment of funds among securities exchange and commodities exchange.

INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- 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 commodity derivatives on behalf of company/firm/others.
- 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.
- If any proof of identity or address is in a regional language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- 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.
- 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:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- Identity card issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(Note: Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- 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.
- 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.
- The proof of address in the name of the spouse may be accepted.

D. Exemptions to PAN

(Note: Sufficient documentary evidence in support of such claims to be collected.)

- Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.

- Investors residing in the State of Sikkim (subject to the continued exemption granted by Government).

E. List of people authorized to attest the documents:

- Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Cooperative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- 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 nonindividuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/ Whole time director/ MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/ two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in commodity market. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in commodity derivatives on behalf of company / firm / others and their specimen signatures.
Partnership firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only) Copy of Trust deed. List of trustees certified by managing trustees/ CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF Deed of declaration of HUF/ List of coparceners. Bank pass-Book/ Bank statement in the name of HUF Photograph, POI, POA, PAN of Karta.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/ Secretary.

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MCX, NCDEX, NSEL

For INDIVIDUAL

To,

Ganesh Commodities Pvt. Ltd.

Corporate Office :122, Vinoba Puri, Lajpat Nagar II, New Delhi - 110024
 Ph.: 91-11-46740000, Fax: 91-11-46740030
 E-mail : ganeshstock@ganeshstock.com, Website : www.ganeshstock.com
 Regd. Office : Flat No. 1, D-77, Shiv Durga Vihar, Lakkarpur, Faridabad-121009 (Haryana)

**Clearing Member's/NSEL
 Globe Commodities Ltd.**
 804, Ansal Bhawan, 16, K. G. Marg,
 New Delhi - 110001
 Tel : 91-11-23354976, 41520276
 Fax : 91-11-23263297
 Trading Code : 37000

MEMBER - MCX, NCDEX, NSEL

(MCX), FMC UMC NO. : MCX/TCM/CORP/0099
 (NCDEX), FMC UMC NO. : NCDEX/TCM/CORP/1041
 (NSEL), Registration No. : 37500

Please fill in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS											
1.	Name of the Applicant										
2.	Father's / Husband's Name										
3.	a) Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	b) Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	c) Date of Birth						
4.	a) Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify, _____)	b) Status			<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> 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						
C. Any other additional Proof of Identity											
B. ADDRESS DETAILS (Proof of address must be different from the proof of identity submitted).											
1.	Correspondence Address		City /District/ Village				PIN Code				
			State				Country				
2.	Contact Details *		Tel (Office)		Tel (Res.)						
			Fax No.		Mobile No.						
			E-mail ID								
3.	Specify the proof of address submitted for correspondence address										
4.	Permanent Address (If different from above)		City /District/ Village				PIN Code				
			State				Country				
			Tel. (Res.)*				Mobile No.				
	Fax:						E-mail				
*If you have a landline connection, kindly provide the same											

Please affix your recent passport size photograph

Signature across Photograph

5.	Specify the proof of address submitted for permanent address	
----	--	--

C. OTHER DETAILS

1.	Gross Annual Income Details (Please specify)											
	Income Range per annum	Networth as on (date) <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>										
	<input type="checkbox"/> Below ₹ 1 lac <input type="checkbox"/> ₹ 10-25 lac <input type="checkbox"/> ₹ 1-5 lac <input type="checkbox"/> More than ₹ 25 lac <input type="checkbox"/> ₹ 5-10 lac	Amount (₹) _____ (Networth should not be older than 1 year)										
2.	Occupation (please tick any one and give brief details):											
	<input type="checkbox"/> Private Sector <input type="checkbox"/> Professional <input type="checkbox"/> Housewife <input type="checkbox"/> Public Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Student <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Business <input type="checkbox"/> Others (Please specify: _____)											
3.	Please tick, as applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / Whole time Directors :											
	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP)											

D. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank A/c No.	A/c Type: S.B/Current Other: NRI,NRE,NRO
MICR No.		IFS Code	
Bank Name	Branch Address	Bank A/c No.	A/c Type: S.B/Current Other: NRI,NRE,NRO
MICR No.		IFS Code	

(Note : Provide a Copy of a canceled Cheque leaf / Passbook / Bank specifying name of the client, MICR Code or / IFSC code of the bank)

E. DEPOSITORY ACCOUNT(S) DETAILS

Name of DP	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

(Note : Provide a Copy of either Demat Master or a recent holding statement issued by DP bearing name of the client)

F. TRADING PREFERENCES

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

Sr. No.	Name of the National Commodity Exchanges #	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	Multi Commodity Exchange of India Ltd.(MCX)		
2.	National Commodity & Derivatives Exchange Ltd.(NCDEX)		
3.	National Spot Exchange Ltd.(NSEL)		

At the time of printing the form, the Member must specify the names of the Exchanges where the Member has membership.

[In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]

G. INVESTMENT / TRADING EXPERIENCE

No Prior Experience _____ Years in Commodities _____ Years in other investment related fields

H. SALES TAX REGISTRATION DETAILS (As applicable, State wise)

Local Sales Tax State Registration No.		Validity Date	
Name of the State			
Central Sales Tax Registration No.		Validity Date	
Other Sales Tax State 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 / SEBI/ Stock exchange / Commodity exchange / any other authority against the client or its Partners / promoters / whole time directors / authorized persons in charge during the last 3 years: _____

K. DEALINGS THROUGH OTHER MEMBERS

If client is dealing through any other Member, provide the following details (in case 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 :			
Phone		Fax	
E-mail :			

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

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

--	--	--	--	--	--	--	--	--	--	--

**Signature of the Authorised Signatory
Seal / Stamp of the Member**

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MCX, NCDEX, NSEL

For NON - INDIVIDUAL

To,

Ganesh Commodities Pvt. Ltd.

Corporate Office :122, Vinoba Puri, Lajpat Nagar II, New Delhi - 110024
 Ph.: 91-11-46740000, Fax: 91-11-46740030
 E-mail : ganeshstock@ganeshstock.com, Website : www.ganeshstock.com
 Regd. Office : Flat No. 1, D-77, Shiv Durga Vihar, Lakkarpur, Faridabad-121009 (Haryana)

**Clearing Member's/NSEL
 Globe Commodities Ltd.**
 804, Ansal Bhawan, 16, K. G. Marg,
 New Delhi - 110001
 Tel : 91-11-23354976, 41520276
 Fax : 91-11-23263297
 Trading Code : 37000

MEMBER - MCX, NCDEX, NSEL

(MCX), FMC UMC NO. : MCX/TCM/CORP/0099
 (NCDEX), FMC UMC NO. : NCDEX/TCM/CORP/1041
 (NSEL), Registration No. : 37500

Please fill in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS	
1. Name of the Applicant	
2. Date of Incorporation	Place of Incorporation
3. Date of Commencement of Business	
4. Status (Please tick any One)	<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Limited Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> LLP <input type="checkbox"/> Trust <input type="checkbox"/> HUF (Please specify, _____) (In case of foreign entity or entity with foreign shareholders, self certified copy of statutory approval obtained must be attached)
5. a) PAN	b) Registration No. (E.g. CIN)
c) Any other additional proof of identity	

Please affix your recent passport size photograph

Signature across Photograph

B. ADDRESS DETAILS (Proof of address must be different from the proof of identity submitted).

1. Correspondence Address	City / town / village	PIN Code
	State	Country
	Tel (Office)	
2. Contact Details*	Fax No.	Mobile No.
	E-mail ID	
	Tel (Res.)	
3. Specify the proof of address submitted for correspondence address		
4. Registered Address (if Different from above)	City / town / village	PIN Code
	State	Country
	Tel. (Res)*	Mobile No.
	Fax:	
E-mail		

*If you have a landline connection, kindly provide the same

5. Specify the proof of address submitted for registered address, if applicable:			
C. OTHER DETAILS			
1. Gross Annual Income Details (Please specify)			
Income Range per annum		2. Networth As on (date)	
<input type="checkbox"/> Below ₹ 1 lac <input type="checkbox"/> ₹ 10-25 lac <input type="checkbox"/> ₹ 1-5 lac <input type="checkbox"/> More than ₹ 25 lac <input type="checkbox"/> ₹ 5-10 lac		Amount (₹) _____ (Networth should not be older than 1 year)	
3. Name, PAN, residential address and photographs of Promoters / Partners / Karta / Trustees and whole time directors : _____			
4. DIN / DPIN / UID of Promoters / Partners / LLP Partners and whole time Directors : _____ (Please refer Enclosur - 1)			
D. BANK ACCOUNT(S) DETAILS			
Bank Name		Branch Address	Bank A/c No.
			A/c Type: S.B/Current Other: NRI,NRE,NRO
MICR No.		IFS Code	
Bank Name		Branch Address	Bank A/c No.
			A/c Type: S.B/Current Other: NRI,NRE,NRO
MICR No.		IFS Code	
(Note : Provide a Copy of a canceled Cheque leaf / Passbook / Bank specifying name of the client, MICR Code or / IFSC code of the bank)			
E. DEPOSITORY ACCOUNT(S) DETAILS			
Name of DP	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID
			Beneficiary ID (BO ID)
(Note : Provide a Copy of either Demat Master or a recent holding statement issued by DP bearing name of the client)			
F. TRADING PREFERENCES			
Note : Please sign in the relevant boxes against the Exchange with which you wish to trade. The Exchange not chosen should be struck off by the client.			
Sr. No.	Name of the National Commodity Exchanges #	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	Multi Commodity Exchange of India Ltd.(MCX)		
2.	National Commodity & Derivatives Exchange Ltd.(NCDEX)		
3.	National Spot Exchange Ltd.(NSEL)		

At the time of printing the form, the Member must specify the names of the Exchanges where the Member has membership. [In case of allowing a client for trading on any other Exchange at a later date, which is not selected now, a separate consent letter is required to be obtained by the Member from client and to be kept as enclosure with this document]

G. INVESTMENT / TRADING EXPERIENCE			
No Prior Experience	_____ Years in Commodities	_____ Years in other investment related fields	
H. SALES TAX REGISTRATION DETAILS (As applicable, State wise)			
Local Sales Tax State Registration No.		Validity Date	
Name of the State			
Central Sales Tax Registration No.		Validity Date	
Other Sales Tax State 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 / SEBI/ Stock exchange / Commodity exchange / any other authority against the client or its Partners / promoters / whole time directors / authorized persons in charge during the last 3 years: _____			
K. DEALINGS THROUGH OTHER MEMBERS			
If client is dealing through any other Member, provide the following details (in case 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 :			
Phone		Fax	
E-mail :			
Website :			
Client Code :			
Details of disputes / dues pending from / to such Member / AP:			
L. INTRODUCER DETAILS (Optional)			
Name of the Introducer :			
Status of the Introducer : Authorized Person / Existing Client / Others, Please Specify :			
Address of the Introducer :			
Phone of the Intrtoducer :		E-mail	
Signature of the Introducer			

M. ADDITIONALT DETAILS

Whether you wish to receive communication from Member in electronic from on your e-mail ID
 If yes then please fill in Appendix - A

Yes No

D. 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 Don't'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										
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Signature of (all Authorized Signatory (ies))

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

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.

Signature of the Authorised Signatory

Date									
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Seal/Stamp of the Member

RISK DISCLOSURE DOCUMENT

The Exchange does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor has the Exchange 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 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 and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by FMC from time to time and circulars as may be issued by the Exchange 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 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 executed 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 member.

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 pro-rated 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, Bye-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 to Annexure 3

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 Member/Broker, who has been admitted as such by the Exchange and got a Unique Member Code from FMC.

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 himself 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).

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; therefore, subject to specific acceptance 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 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 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

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, Bye-laws, 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 thereunder 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 thereunder.

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 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

24. 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.
25. 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.
26. 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

27. 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.
28. 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.
29. The Member shall make pay out of funds 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.
30. 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.
31. The Member shall send margin statements to the clients on monthly basis. 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.
32. 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.
33. 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 client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

ELECTRONIC CONTRACT NOTES (ECN)

34. 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.
35. 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 nontamperable.
36. 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.
37. 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.
38. 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.
39. 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.
40. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form must be obtained afresh before 1st April of every financial year by following the same procedure. Thus, such declaration would be valid for that financial year only.

LAW AND JURISDICTION

41. 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 thereunder or Rules of FMC.
42. 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.
43. 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.
44. 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.
45. All additional voluntary/non mandatory 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.
46. 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.
47. Members are required to send account statement to their clients every month in physical form.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS 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

3. 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 nonexecution 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's

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link _____ to see whether the Member is registered with the Exchange.
2. Insist on filling up a standard 'Know Your Client (KYC)' form before you commence trading.
3. Insist on getting a Unique Client Code (UCC) and ensure all your trades are done under the said UCC.
4. Insist on reading and signing a standard 'Risk Disclosure Agreement'.
5. Obtain a copy of your KYC and/ or other documents executed by you with the Member, 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 _____. The trades can be verified online where trade information is available up to 5 working days from the trade date.
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.
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.
9. Obtain receipt for collaterals deposited with the Member towards margins.
10. Go through the Rules, Bye-laws, Regulations, Circulars, Directives, Notifications of the Exchange as well as of the Regulators, Government and other authorities to know your rights and duties vis-à-vis those of the Member.
11. Ask all relevant questions and clear your doubts with your Member before transacting.
12. Insist on receiving the bills for every settlement.
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.
14. Scrutinize minutely both the transaction & holding statements that you receive from your Depository Participant.
15. Keep Delivery Instruction Slips (DIS) book issued by DPs in safe possession.
16. Ensure that the DIS numbers are preprinted and your account number (UCC) is mentioned in the DIS book.
17. Freeze your Demat account in case of your absence for longer duration or in case of not using the account frequently.
18. Pay required margins in time and only by Cheque and ask for receipt thereof from the Member.
19. Deliver the commodities in case of sale or pay the money in case of purchase within the time prescribed.
20. Understand and comply with accounting standards for derivatives.
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.
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.
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.
24. The payout of funds or delivery of commodities (as the case may be) shall not be made to you within one working day from the receipt of payout from the Exchange, in case you have given specific authorization for maintaining running account to the member. Thus, in this regard, the running account authorization provided by you to the Member shall be subject to the following conditions:
 - 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.
 - 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.
 - 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.
 - 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 commodity exchanges.
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.
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.
27. In case your problem/grievance/issue 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.

Don'ts

1. Do not deal with any unregistered intermediaries.
2. Do not undertake off-market transactions as such transactions are illegal and fall outside the jurisdiction of the Exchange.
3. Do not enter into assured returns arrangement with any Member
4. Do not get carried away by luring advertisements, rumours, hot tips, explicit/ implicit promise of returns, etc.
5. Do not make payments in cash/ take any cash towards margins and settlement to/ from the Member.
6. Do not start trading before reading and understanding the Risk Disclosure Agreement.
7. Do not neglect to set out in writing, orders for higher value given over phone.
8. Do not accept unsigned/duplicate contract note/ confirmation memo.
9. Do not accept contract note/confirmation memo signed by any unauthorized person.
10. Don't share your internet trading account's password with anyone
11. Do not delay payment/deliveries of commodities to Member.
12. Do not forget to take note of risks involved in the investments.
13. Do not sign blank Delivery Instruction Slips (DIS) while furnishing commodities, deposits and/or keep them with Depository Participants (DP) or member 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.

Tariff Sheet**Rate / amount of Brokerage and other charges for Trading on the Commodity exchange(s)****Trading Client Code No. _____**

	% Jobing	Jobing Minimum	% Delivery	Delivery Minimum
Brokerage on MCX				
Brokerage on NCDEX				
Brokerage on NSEL				

Other Government / Exchange Levies and charges like service Tax, Transaction Charges, Stamp Duty and any other charges will be charged extra on actual basis and are subjected to change as the changes would be implemented by the respective authorities from time to time in future.

Signature:  _____

For: _____

Name : _____

Trading Code : _____

Mobile No. : _____

DOCKET - B

Electronic Contract Note [ECN] – DECLARATION (VOLUNTARY)

To,

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dear Sir,

I, _____ a client with Member M/s. _____
of _____ 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, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- 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.
- This declaration is valid till 31st March _____ (yyyy)

[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

Date :

Place:

Verification of the client signature done by,
Name of the designated officer of the Member

Signature

Date :

Instructions:

- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- The client shall, on receipt of this email, print the email as well as the declaration form.
- The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
- The size of the font of this declaration must be at least 12.

**DECLARATION CUM AUTHORISATION LETTER AND
ADJUSTMENT IN DIFFERENT EXCHANGES / ACCOUNT**

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dated :

Dear Sir,

I/We _____ registered with you as Constituent / Client in the Futures Market Segment / Spot Market / Ready Delivery Market Segment of Commodity Market hereby of various exchanges MCX, NCDEX, NSEL authorise you to do the following.

1. Maintain a running account in my / our name in your book of accounts and issue me / us cheque for the credit balance only as and when requested by me / us.
2. Retain Commodity from my Demat commodity payout with you till specific request made by me / us for transfer to my/our Demat account.
3. Debit my / our running account in your books for adjusting the initial margin requirements for the Cash / Derivatives trading on our account and that excess initial Margin be adjusted towards the Mark to Market margins whenever found necessary by you.
4. Transfer funds from my / our running account in the Futures/ Derivative Market Segment to my / our Spot Market running account and vice versa whenever found necessary by you.
5. Retain payment of funds and / or Commodities to meet our margin and paying obligation
6. The retained Demat Commodities can be adjusted against my / our debit balance by selling them in the market.
7. I/We hereby declare that all the trades entered by me / us with you are for my / our personal and family account. I/We confirm that I / We do not operate for any Client and no contracts are issued by me / us.
8. I/We executed/desire to execute an agreement with Ganesh Commodities Pvt. Ltd., For trading on the Multi Commodity Exchange of India Ltd. (MCX), National Commodity & Derivatives Exchange Ltd. (NCDEX), National Spot Exchange Ltd. (NSEL). In this regard. This is difficult on my part to receive cheques and make payment for intera exchange margin requirement of all the exchanges, since I/We execute transaction in all the exchange and I/We maintained common account under the same UCC with you. I/We therefore hereby request you to treat the agreement between us whether in MCX / NCDEX / NSEL as co-extensive and therefore I/We hereby authorized you to transfer, make adjustments and/or to set off a part or whole of the securities/ Commodities place as margin and / or any surplus funds in any of my accounts(s) maintained with you i.e. Either in MCX / NCDEX / NSEL against the outstanding dues payable in any, by me/us in any of my/our account(s) maintained with Ganesh Commodities Pvt Ltd. Or vice versa. Ganesh Commodities Pvt Ltd. shall have right of lien on the credit balance in any of my/our accounts. Any entries passed by you in accordance with this authorization shall be binding on me/us for making transfer intra exchange adjustment in respect of margin debit balance or any other adjustment, which you think fit and proper.
9. I/We have been made aware of tariff sheet and all the voluntary and non voluntary / mandatory documents. I/We have also been made aware of rights and obligation documents, RDD, Do's and Don'ts and guidance Note. I/We have been given a copy of all the KYC documents. I/We undertake that any change in the detail we would duly be intimated to the Broker from time to time.

Kindly take note of the same

Thanking you,

Yours faithfully,

Client Code: _____

Client Name




Signature

Appendix - 3

**Authorisation for Pledge of monies/securities/ commodities in favour of Ganesh Commodities Pvt. Ltd.
Trading Account No. _____**

Dear Sir/ Madam,

This is with reference to the trading account opened with you in the name of I/We hereby irrevocably authorize you to pledge securities/ Commodities received from me/us as margin or purchased by me/us through you and pledge monies standing as credit in my account with you received from me/us as margin or credit resulting from sale of Commodity, security any other instruments to the Commodity exchanges i.e. NSEL/ NCDEX/ MCX to facilitate my/our transactions in the normal course of the securities business.

Signature: 

Name of Constituent :

Date:

Place:

Appendix - 4

Ganesh Commodities Pvt. Ltd.

Corporate Office : 122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Ph.: 91-11-46740000, Fax: 91-11-46740030

Regd. Office : Flat No. 1, D-77, Shiv Durga Vihar, Lakkarpur, Faridabad-121009 (Haryana)

Dealings in Proprietary account by the trading member

Dear Sir / Madam,

We would like to inform you that as trading member of National Spot Exchange Limited, National Commodity & Derivatives Exchange Ltd. And Multi Commodity Exchange of India Limited we are in the business of broking and would like to inform you that apart from giving services to clients including to you, we are also carrying on business in PRO / own account in addition to the clientele business.

This is for you information and record.



(Signature of the Client having noted)

RUNNING ACCOUNT AUTHORISATION

To,

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dear Sir,

I/We have been / shall be dealing through you as my/our broker on the MCX, NCDEX, NSEL. As my/our broker i.e. agent I /we direct and authorize you to carry out trading/dealings on my/out behalf as per instructions given below.

I am/We are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives /regulations/circulars, issued by exchange/regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal /trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/ collateral for my/our dealings/trading.

In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or settlement so made shall attain finality and I/we shall have no right to dispute any/either of these ever. Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorization at any time, however, such termination shall be subject to notice period of fifteen days form the date of physical delivery of revocation letter at your registered office to allow you to make necessary changes to handle my account without running account authorization. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my /our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities /monies under this agreement.

The above authorisation in respect of running account and other authorisation shall be revoked at any time.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calendar Quarter

Once in a Calendar Month

Thanking you
Yours faithfully,

Client Code

Client Name: _____

Signature  _____

Date: ____ / ____ /20____ Place: _____

Appendix - 6

DECLARATION

I/WE _____ declare that staff of the Company Mr. _____ in front of me/us/our representative Mr. _____ fills all papers/forms related to registration as a client with M/s Ganesh Commodities Pvt Ltd. After form fill-up by him I/We put My/Our Signature on it.

Details filled in application are true and correct.



Signature of Client

Name: _____

Designation: _____

Date: _____

Appendix - 7

DECLARATION FOR NAME DIFFERENCE

To,
Ganesh Commodities Pvt. Ltd.
122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024


Dear Sir,

I _____, state and declare that i am also know as _____ and many of my official records bear my name as _____.

I say that I desire to open a trading account with you under the name and style of _____ although the documents submitted by me are bearing my name as _____.

I request you therefore to open the account with your company on my aforesaid representation as per the form duly filled by me and accept the documents furnished by me in support thereof. I agree to abide by all terms & condition of the company as are applicable for opening and operation of the said account.

I state that without prejudice to the company's rights, other right in law or pay damage and compensation to the company, which may be incurred to suffered by the company upon the company opening the said account as requested by me relying on my aforesaid representation.

Signature : 
Name : _____
Address : _____

Dated : _____

Appendix - 8

Request Letter

To,

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dear Sir,

Sub : My/ Our request for trading in commodity forward contracts / commodity derivatives on MCX as your client

I/We, the undersigned, have taken cognizance of circular no. MCX/ Trading - 300/2006 dated August 01, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX on Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/ any of our partners / directors / karta / trustee or any of the partnership firms / companies / HUF's / Trusts in which I or any of above such person is a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on MCX through you or through any other member(s) of MCX to enable you to restrict our position limit as prescribed by the above referred circular of MCX as modified from time to time.

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

Yours faithfully,



Client

To,

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dear Sir,

Subject: My/Our request for trading in commodity forward contracts/ commodity derivatives on NCDEX as your client

I/We, the undersigned, have taken cognizance of circular no. NCDEX/TRADING-114/2006/247 dated September 28, 2006 issued by the National Commodity & Derivatives Exchange Limited (NCDEX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX or Forward Markets Commission and such position limits will be calculated in accordance with the contents of above stated circular of NCDEX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on NCDEX through you or through any other member(s) of NCDEX, to enable you to restrict our position limit as prescribed by the above referred circular of NCDEX as modified from time to time.

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

Yours faithfully,

For _____



Sole Proprietor/Partner/Director/Karta/Trustee*

Enclosure - 1

(Forming part of the client registration application of _____)

Name						Please Sign across the Photograph
Designation						
Qualification						
Experience						
PAN/ GIR						
Equity Stake / Sharing Ratio						
Address						
	City					
PIN	State	Country				
Phone No. (With STD Code)				Fax No.		
Mobile No.				E-mail ID		
Residential Status	<input type="checkbox"/> Indian	<input type="checkbox"/> NRI	<input type="checkbox"/> Other (Please Specify)			
Bank Name, Address Account No.			A/c Type	A/c Opening Dt.		

Please tick, as applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / Whole time Directors :

- | | |
|---|--|
| <input type="checkbox"/> Politically Exposed Person (PEP) | <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |
| <input type="checkbox"/> Not a Politically Exposed Person (PEP) | <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP) |

Date :

Signature : 

Name						Please Sign across the Photograph
Designation						
Qualification						
Experience						
PAN/ GIR						
Equity Stake / Sharing Ratio						
Address						
	City					
PIN	State	Country				
Phone No. (With STD Code)				Fax No.		
Mobile No.				E-mail ID		
Residential Status	<input type="checkbox"/> Indian	<input type="checkbox"/> NRI	<input type="checkbox"/> Other (Please Specify)			
Bank Name, Address Account No.			A/c Type	A/c Opening Dt.		

Please tick, as applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / Whole time Directors :

- | | |
|---|--|
| <input type="checkbox"/> Politically Exposed Person (PEP) | <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |
| <input type="checkbox"/> Not a Politically Exposed Person (PEP) | <input type="checkbox"/> Not Related to a Politically Exposed Person (PEP) |

Date :

Signature : 

FOLLOWING DOCUMENTS SHOULD BE SUBMITTED:

Passport / Driving License / Voters Identity Card/ Copies of PAN Cards of above named persons
 Letter from the Banker certifying the Account No.
 Salary Certificate / Copy of ITR
 (In case of more than 2 Director / partners / Trustee etc. Please use extra sheet)

To,

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri,
Lajpat Nagar - II,
New Delhi - 110024

Sub: Standing Instruction for retention of Physical Demat Delivery of Commodities

Dear Sir / Madam,

I/ We, _____ having a trading account maintain as a running account in your organization in the following exchanges against our UCC Code No. _____

(Tick whichever is applicable)

- | | |
|--|--------------------------|
| 1. National Spot Exchange Ltd. | <input type="checkbox"/> |
| 2. Multi Commodity Exchange of India Ltd. | <input type="checkbox"/> |
| 3. National Commodity & Derivative Exchange Ltd. | <input type="checkbox"/> |

I/ We understand the exchange requirement of transferring the purchased demat delivery of the respective commodities traded on the aforesaid commodities exchanges in my/our demat beneficiary account within the stipulated time. I/We constantly and regularly purchase and sales the demat delivery in our respective trading account. We therefore found it defficult on our part transferring of demat commodity delivery on every purchase and sales transactions. Moreover it is very expensive to open and operate such beneficiary demat account in present scenario.

Keeping in view the above practical difficulties on our part, we therefore request you to kindly keep our purchased demat commodities in your beneficiary demat account against our future obligation of sales and margin requirement in accordance with the rules and regulations laid down in respect thereof by the respective stock exchanges until we specifically give you instruction from time to time for transfer of such demat commodities in our beneficiary demat accounts on telephone / mail or whatsoever mode of communication or until the revocation of such retention authority.

Thanking you

Yours faithfully,



(Signature of the account holder)

Name :

UCC Code :

Address :

(DECLARATION BY KARTA & ALL CO-PARCERNERS IN CASE OF HUF ACCOUNT)

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dated :

Account No.:

1. WHEREAS the Hindu Undivided Family ofis carrying on business in the firm name and style ofat.....or we intent to deal, have or desire to have Commodity Trading Account with GANESH COMMODITIES PVT. LTD. (hereinafter referred as 'Member') We, undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; thatis the present Karta of the said joint family.

2. We confirm that affairs of the H.U.F. Firm are carried on mainly by the Kartaon behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the Karta.....

On behalf of the H.U.F. To deal on Futures Market segment , Spot Market segment or any other segment that may be introduced by SEBI in future and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the H.U.F.

Mr./Mrs.....is authorized to sell, purchase, transfer, endorse, negotiate documents and / or otherwise deal through GANESH COMMODITIES PVT. LTD. on behalf of the H.U.F.

He is also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said H.U.F. firm to the Member and agree and confirm that any claim due to the Member from the said H.U.F. firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.

3. We undertake to advise the Member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said H.U.F. firm and until receipt of such notice by the Member which shall be binding on the said joint family and the said H.U.F. firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the Member for all dues obligations of the said H.U.F. firm in the Member's book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged.

4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as per regulations. To facilitate the operation of the above share trading account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account no..... with Depository.....Opened in name ofwho is the Karta of this H.U.F.

5. We have received and read a copy of the Member's rules and regulations for the conduct of Share Trading Accounts and we agree to comply with and be bound by the said rules now in force or any changes that may be made therein from time to time.

6. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of, and bind the said H.U.F. Firm.

7. Details of Co parceners

Name of the Co.parceners	PAN No	Date of Birth	Address
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

Thank you

Yours Truly



(Signature of Karta)
(Along with rubber stamp)

Name :

Address :

Enclosure - 4

AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)

(To be obtained on pre-printed Letterhead of Firm)

Ganesh Commodities Pvt. Ltd.

Dated :

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dear Sir,

We the partners of M/s....., a partnership firm, having its office at city..... state..... hereby aughorize Mr./Ms..... and Mr./Ms..... to open a commodity trading account in Futures Market segment, Spot Market and Ready Delivery Market segment on behalf of the firm M/s..... with the Trading Member **GANESH COMMODITIES PVT. LTD.** for sale and purchase of commodities, security instruments in Future market segment and or Spot Market segment or any other segment that may be introduced by Exchanges in future. He/She/They is/are authorized on behalf of the firm to deal in equities, derivatives, debentures, debt products and the said Trading Member is hereby authorized to honor all instructions oral or written, given on behalf of the firm by him/her/them.

Mr./Ms..... and Mr./Ms..... is/are authorized to sell, purchase, transfer, endorse, negotiate documents and /or/ otherwise deal through **GANESH COMMODITIES PVT. LTD.** on behalf of the firm M/s..... He / She / They is /are also authorized to sign, execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/authorized signatory(ies) can issue cheques from bank account(s) in favour of **GANESH COMMODITIES PVT. LTD.** for credit to Share trading account of the firm with **GANESH COMMODITIES PVT. LTD.**, even though his / their signatures may not be available on the records of **GANESH COMMODITIES PVT. LTD.** These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely / exclusively for the account of the firm maintained with **GANESH COMMODITIES PVT. LTD.**

We also recognize that a beneficiary account can not be opened with a Depository Participant in the name of the partnership firm as per Depository regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations, pursuant to the trading operations, we authorize you to recognize the beneficiary account No..... with Depositor having DP ID opened as a singly / jointly in the name of Manging partner / partners of the firm. We agree that the obligations for shares purchased and / or sold by the firm will be handled and completed through transfers to / from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Thank you
Yours Truly

   
(Signature of Partner) (Signature of Partner) (Signature of Partner) (Signature of Partner)

(Signature of all the partner with rubber stamp required)

Name :

Address :

Enclosure - 5

NRI Undertaking for Trading with Ganesh Commodities Pvt Ltd.

Dated :

1. PASSPORT DETAILS

• Number _____ • Date of Issue _____ • Date of Expiry _____
• Place of Issue _____ • Issuing Authority _____

2. NATIONALITY _____ 3. COUNTRY OF ORIGIN _____

4. LOCAL ADDRESS _____

5. PURPOSE OF STAY ABROAD _____

I confirm that I am a Non-Resident Indian residing at _____ (City / Country of stay) and Citizen of _____ (Name of Country) for the purpose of Foreign Exchange Regulation Act 1973/ Foreign Exchange Management Act 2000 and shall immediately inform you in the event of any change in my address, citizenship and /or residency of other status.



Applicant signature

Encl. : Photocopy of Passport (Countersigned by applicant)

CHECKLIST (NRI) - HOLDING STATUS

In case already holding securities :

- (a) In the account opening form, RBI reference no. and approval date is to be quoted. Photocopy of the same be provided.
- (b) In case NRI has never acquired any holding or securities from secondary market in the relevant column he should write
(i) In the column of Reference No.: **"No holdings"** (ii) In the column of Approval Date : **"Present Date"**
- (c) In case NRI has acquired securities through allotment in primary market i.e. direct investment scheme the necessary approval would have been obtained by the issuer company, under such cases he should write
(i) In the column of RBI Reference No.: **"Under General Permission"** (ii) In the column of RBI Approval Date : **"Present Date"**

Enclosure - 6

DECLARATION BY FIRM (SOLE-PROPRIETORSHIP)

(To be obtained on Pre-printed Letter Head of the Firm)

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dated :

Dear Sir,

I refer to the trading account opened with you in the name ofand declare and authorize you as under:

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Depository Regulations. To facilitate the operation of the above trading account with you and for the purpose of completion the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary Account No..... with Depository.....having DP ID opened in the name of the undersigned who is the sole proprietor of the firm.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfer to / from the above-mentioned account. I recognize and accept transfer made by you to the beneficiary account as completion of obligations by you in respect of trades executed in the above trading account of the firm.

Signature(Please sign with stamp of the firm)

The cheques/DDs may be issued by me from my individual account or my joint account with some one else. The amounts so given shall be sole/exclusively for credit to the account of my sole proprietorship firm M/s.....with **GANESH COMMODITIES PVT. LTD.** shall not lay any claim whatsoever in future against **GANESH COMMODITIES PVT. LTD.** for affording credit of such cheques/DDs issued from my individual/joint account credit of which has been provided by **GANESH COMMODITIES PVT. LTD.** to the account of my proprietorship firm M/s.....

Thank you.

Yours Truly



.....
(Signature)

(Please sign without stamp of the firm)

Name :

Address :



.....
(Signature)



.....
(Signature)

Enclosure - 7

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATE

(To be obtained on Pre-printed Letter Head of the Company)

Ganesh Commodities Pvt. Ltd.

122, Vinoba Puri, Lajpat Nagar - II, New Delhi - 110024

Dated :

ACERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S
..... AND HAVING ITS REGISTERED OFFICE
AT.....HELD ONDAY OF
.....200AT.....

Resolved that the Company is empowered to deal on Future Market segment, Spot Market segment, or any other segment that may be introduced by Exchanges and in pursuance of the same do enter into agreement with **GANESH COMMODITIES PVT. LTD.**, Member of the Multi Commodity Exchange of India Ltd. (MCX), National Commodity & Derivatives Exchange Ltd.(NCDEX), National Spot Exchange Ltd. (NSEL) and the said Trading Member be and is hereby authorized to honor instructions, oral or written, given on behalf of the company by any or the under noted authorized signatories.

Sr. No.	Name	Designation	Signature
1.	
2.	

Who is/are authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through **GANESH COMMODITIES PVT. LTD.** on behalf of the Company.

RESOLVED FURTHER THAT Mr..... and/or Mr., Directors and/or Mr.....Authorized Signatory of the Company be and are hereby authorized singly or jointly to sign, execute and submit such applications, undertakings agreements and other requisite documents, writings and deeds as may be deemed, necessary or expedient to open account and give effect to the resolution.

For.....Ltd.
Chairman/Company Secretary

Ganesh Stockinvest Pvt. Ltd.

› Shares Trading

B. R. Jalan Securities Pvt. Ltd.

› Trading Member - **BSE**

› Depository Participant - **CDSL**

› Easi / Easiest - **CDSL** (*Instructions & Current Status on Net*)