

## Acknowledgement From Client

To,

### **R K Global Commodity Broking Ltd**

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in

I/We \_\_\_\_\_ hereby confirm that I/We have received the copy of KYC Forms, Risk Disclosure Document, along with Investors' Rights and Obligation. I/We also confirm that I/We got my unique client code.

Thanking you,

-

Client's Signature

(If Partner, Corporate, or Other signatory, then attest with firm/company seal.)

Date :

Place :

# R K GLOBAL COMMODITY BROKING LTD.

## INDEX OF DOCUMENT

Name of Member : **R K GLOBAL COMMODITY BROKING LTD.**

FMC Unique Membership Code (UMC) No. for MCX : MCX/TCM/CORP/1606

FMC Unique Membership Code (UMC) No. for NCDEX : NCDEX/TCM/CORP/0942

Registered office address : Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 011-4310 0999, Fax : 011-2338 5640, E-mail : care@rkglobal.in, Website : www.rkglobal.net

Correspondence office address : Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 011-4310 0999, Fax : 011-2338 5640, E-mail : care@rkglobal.in, Website : www.rkglobal.net

Compliance officer name, phone no. & email id : Mr. Sushil Kumar Dhancholia, 011 4310 0999, skd@rkglobal.in

CEO name, phone no. & email id : Mr. Amit Bhagchandka, 011 4310 0999, ceo@rkglobal.in

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### **MANDATORY DOCUMENTS AS PRESCRIBED BY FMC & EXCHANGES**

1	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-10
2	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	11-13
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).	14-18
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> .	21

### **VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER\***

6	Electronic Contract Note (ECN) - Declaration		23
7	Letter of Authorisation & Client Declaration Cum Undertaking		24-25
8	Consent from for receiving trade alerts through SMS and/or E-mail		26
9	Board Resolution Declaration, Banker's Verification & Letter for minor A/c		28-30
10	Check List for filling KYC Form		32-33

- *For any grievance/dispute please contact R K Global Commodity Broking Ltd. at the above address or email id-grievances@rkglobal.com and Phone no. 011 4310 0999. In case not satisfied with the response, please contact the concerned exchange(s) at : for MCX - grivences@mcxindia.com, for NCDEX - askus@ncdex.com and Phone nos. 022-67318888 / 66406084 respectively.*

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**Annexure - 1**  
**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**R K Global**  
Commodity Broking Ltd

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

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001  
Ph. : 91-11-43100999, Fax : 91-11-23385640, E-mail : care@rkglobal.in, Website : www.rkglobal.net

*For Individuals*

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in English and in BLOCK LETTERS.

**A. IDENTITY DETAILS**

1. Name of the Applicant : \_\_\_\_\_
2. Father's / Spouse Name : \_\_\_\_\_
3. a. Gender :  Male  Female b. Marital status :  Single  Married c. Date of Birth : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---
4. a. Nationality : \_\_\_\_\_ b. Status :  Residential Individual  Non Resident  Foreign National  
(If Non Resident/Foreign National, self-certified copy of statutory approval obtained must be attached)
5. a. PAN : 

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 b. Unique Identification No. (UID)/Aadhaar, if available : \_\_\_\_\_ c. Any other additional proof of Identity : \_\_\_\_\_

**B. ADDRESS DETAILS**

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

1. Address for correspondence : \_\_\_\_\_  
\_\_\_\_\_  
City / district / village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) # \_\_\_\_\_ Tel. (Res.) # \_\_\_\_\_ Mobile No. : \_\_\_\_\_  
Fax : \_\_\_\_\_ Email id : \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address : \_\_\_\_\_
4. Permanent Address (if different from above) : \_\_\_\_\_  
City / district / village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_  
Tel. (Res.) # \_\_\_\_\_ Mobile No. : \_\_\_\_\_ Fax : \_\_\_\_\_  
Email id : \_\_\_\_\_
5. Specify the proof of address submitted for permanent address, if any : \_\_\_\_\_

**C. OTHER DETAILS**

1. Gross Annual Income Details (please specify) : Income Range per annum :  
 Below Rs. 1 lac  1-5 Lacs  5-10 Lacs  10-25 Lacs  >25 Lacs
- Net worth : As on (date) \_\_\_\_\_ ( \_\_\_\_\_ ) (Net worth should not be older than 1 year)
2. Occupation (please tick any one and give brief details) :  
 Private Sector  Public Sector  Government Service  Business  
 Professional  Farmer  Others (Specify) \_\_\_\_\_
3. Please tick, as applicable :  
 Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)  
 Not a Politically Exposed Person (PEP)  Not Related to a Politically Exposed Person (PEP)  
# If you have a landline connection, kindly provide the same.

**D. BANK ACCOUNT(S) DETAILS**

Bank Name	Branch Address	Bank account no.	Account Type : Saving/Current/Others	MICR Number	IFSC code

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

**E. DEPOSITORY ACCOUNT(S) DETAILS, if available**

Depository Participant Name	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	MCX		
2	NCDEX		
3			

**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. : \_\_\_\_\_
- Name of the State : \_\_\_\_\_
- Validity Date : \_\_\_\_\_

**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 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, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's / Authorized Person (AP)'s Name : \_\_\_\_\_

Exchange : \_\_\_\_\_

Exchange's Registration number : \_\_\_\_\_

Concerned Member's Name with whom the AP is registered : \_\_\_\_\_

Registered office address : \_\_\_\_\_ Ph: \_\_\_\_\_

Fax : \_\_\_\_\_ Email : \_\_\_\_\_ Website : \_\_\_\_\_

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

Details of disputes/dues pending from/to such Member/AP : \_\_\_\_\_

**L. INTRODUCER DETAILS (Optional)**

Name of the Introducer : \_\_\_\_\_

(Surname)

(Name)

(Middle Name)

Status of the Introducer: Authorized Person/Existing Client/Others, please specify \_\_\_\_\_

Address and phone no. of the Introducer : \_\_\_\_\_

Signature of the Introducer \_\_\_\_\_

**M. ADDITIONAL DETAILS**

Whether you wish to receive communication from Member in electronic form on your Email-id £ Yes £ No :

{If yes then please fill in Appendix-A}

**N. NOMINATION DETAILS**

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

Name of the Nominee : \_\_\_\_\_ Relationship with the Nominee : \_\_\_\_\_

PAN of Nominee : \_\_\_\_\_ Date of Birth of Nominee : \_\_\_\_\_

Address and phone no. of the Nominee : \_\_\_\_\_

**If Nominee is a minor, details of guardian :**

Name of Guardian : \_\_\_\_\_ Address and phone no. of Guardian : \_\_\_\_\_

Signature of Guardian \_\_\_\_\_

**WITNESSES** (Only applicable in case the account holder has made nomination)

Name \_\_\_\_\_ Name \_\_\_\_\_

Signature \_\_\_\_\_ Signature \_\_\_\_\_

Address \_\_\_\_\_ Address \_\_\_\_\_

## DECLARATION

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 change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

Place \_\_\_\_\_

( \_\_\_\_\_ )

Date \_\_\_\_\_

Signature of Client

## FOR OFFICE USE ONLY

UCC Code allotted to the Client : \_\_\_\_\_

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

*I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

\_\_\_\_\_  
**Signature of the Authorised Signatory**

Date \_\_\_\_\_

**Seal/Stamp of the Member**

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

# R K Global

Commodity Broking Ltd

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

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001  
Ph. : 91-11-43100999, Fax : 91-11-23385640, E-mail : care@rkglobal.in, Website : www.rkglobal.net

*For Non-Individuals*

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

Please fill this form in English and in BLOCK LETTERS.

### A. IDENTITY DETAILS

1. Name of the Applicant : \_\_\_\_\_
2. Date of incorporation : \_\_\_\_\_ (dd/mm/yyyy) & Place of incorporation : \_\_\_\_\_
3. Date of commencement of business : \_\_\_\_\_ (dd/mm/yyyy)
4. a. PAN : \_\_\_\_\_ b. Registration No. (e.g. CIN) : \_\_\_\_\_  
c. Any other additional proof of identity : \_\_\_\_\_
5. Status (Please tick any one)  
 Private Limited Co.     Public Ltd. Co.     Body Corporate     Partnership     Trust  
 HUF     LLP     Others (please specify) \_\_\_\_\_

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

### B. ADDRESS DETAILS

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

1. Address for correspondence : \_\_\_\_\_  
\_\_\_\_\_  
City / district / village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) # \_\_\_\_\_ Tel. (Res.) # \_\_\_\_\_ Mobile No. : \_\_\_\_\_  
Fax : \_\_\_\_\_ Email id : \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address : \_\_\_\_\_
4. Registered Address (if different from above) : \_\_\_\_\_  
\_\_\_\_\_  
City / district / village : \_\_\_\_\_ Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_  
Tel. (Off.) # \_\_\_\_\_ Tel. (Res.) # \_\_\_\_\_ Mobile No. : \_\_\_\_\_  
Fax : \_\_\_\_\_ Email id : \_\_\_\_\_
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 :  
 Below Rs. 1 lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     25 Lacs-1 Crore     >1 Crore

Net worth : As on (date) \_\_\_\_\_ ( \_\_\_\_\_ )

(Net worth should not be older than 1 year)

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



2. Name, PAN, Residential address, Phone No. of the Promoters/Partners/Karta/Trustees/whole time directors :			
SL. No.	NAME	ADDRESS & PHONE NUMBER	PAN
1			
2			
3			

**RECENT PHOTOGRAPHS OF Promoters/Partners/Karta/Trustees/whole time directors :**

<p>1.</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Affix your recent Passport size Photograph and sign across the same</p> </div>	<p>2.</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Affix your recent Passport size Photograph and sign across the same</p> </div>	<p>3.</p> <div style="border: 1px solid black; padding: 10px; text-align: center;"> <p>Affix your recent Passport size Photograph and sign across the same</p> </div>
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**3. DIN/DPIN/UID of Promoters/Partners/LLP Partners and whole time directors :**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**4. 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 account no.	Account Type : Saving/Current/Others	MICR Number	IFSC code

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

**E. DEPOSITORY ACCOUNT(S) DETAILS, if available**

Depository Participant Name	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.*

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- Validity Date : \_\_\_\_\_
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- Validity Date : \_\_\_\_\_
- Name of the State : \_\_\_\_\_

**I. VAT DETAILS (As applicable, State wise)**

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- Name of the State : \_\_\_\_\_
- Other VAT Registration No. : \_\_\_\_\_
- Name of the State : \_\_\_\_\_
- Validity Date : \_\_\_\_\_

**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 during the last 3 years : \_\_\_\_\_

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Exchange : \_\_\_\_\_

Exchange's Registration number : \_\_\_\_\_

Concerned Member's Name with whom the AP is registered : \_\_\_\_\_

Registered office address : \_\_\_\_\_

Ph : \_\_\_\_\_ Fax : \_\_\_\_\_ Email : \_\_\_\_\_ Website : \_\_\_\_\_

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

Details of disputes/dues pending from/to such Member/AP : \_\_\_\_\_

**L. INTRODUCER DETAILS (optional)**

Name of the Introducer : \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer: Authorized Person/Existing Client/Others, please specify \_\_\_\_\_

Address and phone no. of the Introducer : \_\_\_\_\_

Signature of the Introducer \_\_\_\_\_

**M. ADDITIONAL DETAILS**

Whether you wish to receive communication from Member in electronic form on your Email-id £ Yes £ No :  
{If yes then please fill in Appendix-A}

**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 change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.

Place \_\_\_\_\_ ( - \_\_\_\_\_ ) ( \_\_\_\_\_ )  
Date \_\_\_\_\_ Signature of (all) Authorized Signatory(ies)\*

\* Form needs to be signed by all authorized signatories.

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

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

*I / We undertake that we have made the client aware of tariff sheet and all the voluntary/non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, 'Do's and Dont's' and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the tariff sheet and all the voluntary/non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

\_\_\_\_\_  
**Signature of the Authorised Signatory**

Date \_\_\_\_\_

**Seal/Stamp of the Member**

## Annexure - 2

### 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 filling 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.

## Annexure - 3

### **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 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.

## Annexure - 4

### 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 <http://ncdex.com/membership/memberdirectory.aspx>, <http://www.mcxindia.com/sitepages/membersdetails.aspx> 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 <http://ncdex.com/marketdata/verifytrade.aspx>, <http://www.mcxindia.com/sitepages/tradeverification.aspx>. The trades can be verified online where trade information is available up to 5 working days from the trade date.
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

## BROKERAGE STRUCTURE

Brokerage Slab	Per lot	%	Min. Paisa
MCX	<input type="text"/>	<input data-bbox="614 282 783 338" type="text" value="%"/>	<input data-bbox="880 282 1050 338" type="text" value=".00"/> *
NCDEX	<input type="text"/>	<input data-bbox="614 349 783 405" type="text" value="%"/>	<input data-bbox="880 349 1050 405" type="text" value=".00"/> *

Sign here in  
case of any cutting

\* : Please don't mention any (%) or (.) mark here. It should be in terms of absolute paisa only.

# : Please don't mention any (%) or (.) mark here. It should be in terms of Rs. per Lot only.

**Note :** Charges of Rs. 450 per crore will be applicable.

- \_\_\_\_\_

**NON-MANDATORY**

**Electronic Contract Note [ECN] - DECLARATION**  
**(VOLUNTARY)**

To,

**R K Global Commodity Broking Ltd**

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

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in, Website : www.rkglobal.net

Dear Sir,

I, \_\_\_\_\_ a client with Member M/s. R K GLOBAL COMMODITY BROKING LTD. of \_\_\_\_\_ Exchange undertake as follows :

- 1 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.
- 1 I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- 1 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.
- 1 I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- 1 My email id is \_\_\_\_\_. This has been created by me and not by someone else.
- 1 I am aware that this declaration form should be in English or in any other Indian language known to me.
- 1 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 :

- \_\_\_\_\_



**R K Global Commodity Broking Ltd.**

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

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001  
Ph. : 91-11-43100999, Fax : 91-11-23385640  
E-mail : care@rkglobal.in, Website : www.rkglobal.net

**STANDING INSTRUCTIONS / AUTHORISATION LETTER**

I/we have been / shall be dealing through you as my broker on the Commodity Exchanges such as MCX/NCDEX. As my Broker i.e. agent I/we direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below. Please treat these instructions as written ratification of my / our verbal directions / authorizations given and carried out by you earlier.

1. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/trade confirmation slips as generated from the Trading Terminal.
2. I am / we are aware that you are required to issue payment/delivery due to me/us as per the payout from the exchange. In order to facilitate operations, I/we hereby authorise you to maintain running accounts with you; to debit my/our running account for the margin/funds &/or deliveries payable by me/us; to include any/all the payout of funds &/or deliveries towards margin/delivery and/or towards pay in obligations and / or towards funds / deliveries payable by me / us, without any specific authorization on pay out to payout basis and to release the funds & / or deliveries (if any) due to me/us on my / our specific request only. I /we also 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 such deliveries/funds under this agreement or otherwise.
3. Pledge/deposit my/our deliveries & / or funds whether deposited as collateral/margin or permitted by us to be retained in the running account etc. by you with any bank or any other institution including but not limited to the Exchange(s) / Clearing Corporation / Clearing House for the purposes of raising funds, bank guarantees and FDRs etc., or towards Margin/Collateral as also to meet shortfall in my/our funds deliveries pay in obligation / auctions or assignment of contracts or any other liability arising out of my / our dealings with you/through you. I/we authorise you to do all such acts, deeds and things as may be necessary and expedient for placing such deliveries with the Exchanges/banks/institutions as margin. You are further authorised to sell / liquidate these deliveries / FDRs at the time and manner of your choice, as & when deemed fit by you in your absolute discretion to meet any shortfalls in my/our accounts or any other liability of mine/ours without any reference to me/us.
4. I/we agree that any loss due to any erroneous order entry / erroneous order modification shall be entertained by you only to the extent of insurance received.
5. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier.

I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my / our directions given above.

The above authorisation shall continue to be valid till revoked by me in writing.

Thanking you,

Yours faithfully,

Client Name : .....

Signature : .....

**CLIENT DECLARATION CUM UNDERTAKING****ANNEXURE-D**

(as per circular NCDEX/COMPLIANCE-001/2007/007)

**R K Global Commodity Broking Ltd.****Member : National Commodity & Derivatives Exchange Ltd. (NCDEX)**

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in, Website : www.rkglobal.net

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\*

\*Strike off which is not applicable

**CLIENT DECLARATION CUM UNDERTAKING****ANNEXURE-E****R K Global Commodity Broking Ltd.****Member : Multi Commodity Exchange of India Ltd. (MCX)**

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in, Website : www.rkglobal.net

Dear Sir,

**SUBJECT : MY/OUR REQUEST FOR TRADING IN COMMODITY FORWARD  
CONTRACTS / COMMODITY DERIVATIVES ON MCX AS YOUR CLIENT**

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or Forward Markets Commission and such position limits will be calculated in accordance with the circular issued by MCX 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 MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the circulars issued by MCX 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 MCX only on the basis of our above assurances and undertaking.

Yours faithfully,

For \_\_\_\_\_

Sole Proprietor/Partner/Director/Karta/Trustee\*

\*Strike off which is not applicable

**Consent from for receiving trade alerts through SMS and/or E-mail**

To,

**R K Global Commodity Broking Ltd.**

**Member ID : 40005**

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in, Website : www.rkglobal.net

Dear Sir,

I/we, \_\_\_\_\_ a client with (M/s. R K GLOBAL COMMODITY BROKING LTD., Member ID : 40005) of MCX Exchange undertake as follows :

1. I/We are aware that Multi Commodity Exchange(MCX) provides the trades executed on its trading platform to the concerned clients/constituents through SMS and E-mail alerts.
2. I/We are aware that the Exchange has to provide the trade details through SMS/E-mail alerts for my convenience at my request only.
3. I/We hereby confirm that I/we wish to receive the trade alerts through :

a. SMS :

b. E-mail :

c. SMS and E-mail :

4. The alerts should be sent on

a. Mobile Number :

b. E-mail Address : \_\_\_\_\_

I/we hereby agree to the terms and conditions specified by the Exchange vide circular No. MCX/T&S/165/2012 dated April 26, 2012 and circulars/clarifications issued by the Exchange from time to time in this regard. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchange and we shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

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

Unique Client Code : \_\_\_\_\_

PAN : \_\_\_\_\_

FORMATS

**FORMAT OF BOARD RESOLUTION TO BE FURNISHED ON LETTER HEAD OF THE COMPANY**

**CERTIFIED TRUE COPY OF RESOLUTION PASSED IN THE MEETING OF BOARD OF DIRECTORS OF M/s. \_\_\_\_\_  
HELD ON \_\_\_\_\_ DAY \_\_\_\_\_ OF \_\_\_\_\_ 20 \_\_\_\_ AT REGISTERED OFFICE OF THE COMPANY.**

“RESOLVED THAT a trading account in the name of M/s. \_\_\_\_\_ be opened with R K Global Commodity Broking Ltd., a company registered under the Companies Act, 1956 and a member of the Multi Commodity Exchange of India Ltd. (MCX), National Commodity & Derivatives Exchange Ltd. (NCDEX) having its registered office at Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001, for the purpose of dealing in Commodity Market be introduced by MCX/NCDEX.

“RESOLVED FURTHER THAT Mr. \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, directors of the Company whose specimen signatures are attested below be and is hereby authorized on behalf of the company to complete Client Registration form and all other documents as may be deemed expedient to open and maintain trading account with R K Global Commodity Broking Ltd. and give effect to this resolution Mr. \_\_\_\_\_ is authorized to sell, purchase, transfer, endorse and/or otherwise deal through R K Global Commodity Broking Ltd.

“RESOLVED FURTHER THAT this resolution be communicated to the R K Global Commodity Broking Ltd. and remain in force until notice in writing be given to the R K Global Commodity Broking Ltd.

For \_\_\_\_\_

Chairman/Director

Specimen Signature of the Authorized persons		
Sr. No.	Name	Specimen Signatures
1.		
2.		
3.		



**TO BE GIVEN BY GUARDIAN (in case of account opening for minor)  
(This letter is to be signed only if the client is a minor)**

To, Date

**R K Global Commodity Broking Ltd**

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

Flat No. 5, Sagar Apartment, 6 Tilak Marg, New Delhi-110 001

Ph. : 91-11-43100999, Fax : 91-11-23385640

E-mail : care@rkglobal.in, Website : www.rkglobal.net

Ref. : Trading Account No. \_\_\_\_\_

Dear Sir,

This is with reference to the above account opened in the name of Master/Ms. \_\_\_\_\_

A/c. \_\_\_\_\_ (name of the minor) with you for the purpose of dealing in commodity future in company exchange.

With reference to the said aforementioned trading account, you are requested to kindly accept or receive funds/ commodities from and make payment of funds/transfer of commodities to the account of my son/daughter, Master/Ms. \_\_\_\_\_ as per the details given for all dealings in the said trading account :

**BANK DETAILS**

**DP DETAILS**

Bank Account No.		CLIENT ID No.	
Bank Name		DP ID No.	
Branch		DP Name	

Kindly do the needful.

Thanking you,  
Yours faithfully

Name of Constituent/Guardian

Address :

Signature \_\_\_\_\_

**INSTRUCTIONS**



## CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in commodity derivatives on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be selfattested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a regional language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FIPB/FEMA guidelines and other applicable statutory approvals), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted along with other statutory approvals required for investment in commodities.
10. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity (POI) : - *List of documents admissible as Proof of Identity :*

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/Driving license.
2. PAN card with photograph.
3. Identity card 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.)*

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook – Not more than 3 months old.
4. 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.
5. 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.
6. 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.)

1. Transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the State of Sikkim (subject to the continued exemption granted by Government).

**E. List of people authorized to attest the documents :**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Cooperative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

**F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :**

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>1 Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>1 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).</li> <li>1 Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>1 Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>1 Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>1 Copy of the Board Resolution for investment in commodity market.</li> <li>1 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.</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>1 Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>1 Certificate of registration (for registered partnership firms only).</li> <li>1 Copy of partnership deed.</li> <li>1 Authorised signatories list with specimen signatures.</li> <li>1 Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>1 Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>1 Certificate of registration (for registered trust only).</li> <li>1 Copy of Trust deed.</li> <li>1 List of trustees certified by managing trustees/CA.</li> <li>1 Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>1 PAN of HUF.</li> <li>1 Deed of declaration of HUF &amp; List of coparceners.</li> <li>1 Bank pass-book/bank statement in the name of HUF.</li> <li>1 Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Government Bodies</b>	<ul style="list-style-type: none"> <li>1 Self-certification on letterhead.</li> <li>1 Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>1 Copy of Registration Certificate under Societies Registration Act.</li> <li>1 List of Managing Committee members.</li> <li>1 Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>1 True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>