



Multiple+ Commodity Mercantile (P) Ltd.

FMC Code : MCX/TCM/CORP/0176
FMC Code : NCDEX/TCM/CORP/0020
FMC Code : NMCE/TCM/CORP/0133
FMC Code : ICEX/TCM/CORP/0371
FMC Code : UCX/TM/CORP/0041

INDIVIDUAL

NON-INDIVIDUAL

ACCOUNT OPENING FORM

Multiplex Commodity Mercantile (P) Ltd.

Membership Regn. No.: MCX-28745, NCDEX-00051, NMCE-CL0003, ICEX-1370, UCX-110041

FMC ID : MCX/TCM/CORP/0176, NCDEX/TCM/CORP/0020, NMCE/TCM/CORP/0133, ICEX/TCM/CORP/0371, UCX/TM/CORP/0041

Registered office address: 100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

Ph.: 011-47055555 Fax : 011-27561629 | E-mail : info@onlymultiplex.com | Website : www.onlymultiplex.com

CIN : U74999DL2003PTC122612

Compliance officer Name: Mr. Yashwant Kumar Singh, Ph No.: 011-47055532, E-mail id: yashwant@onlymultiplex.com

S.No.	Name of the Document	Brief Significance of the Document	Page No.
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.	1-11
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	L1-3
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).	L4-12
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.	L13-14
5.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchanges(s).	12
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER			
6.	Authorization For Sharing Personal Information:	Document authorizing trading member to share personal information to receive offers & information on various products/services etc.	13-14
7.	Authority to pledge the shares/ securities/commodities	Document authorizing Trading Member to pledge client's shares/securities/ commodities lying towards margin/collateral.	
8.	Verbal Order Acceptance Authorisation	Document authorizing Trading Member to accept verbal orders in the manner mentioned therein.	
9.	Running Account Authorisation	Document authorizing Trading Member to maintain the running account of funds and securities/commodities in the manner mentioned therein.	
10.	Format for Client Opting Online Trading Facility	Document for client opting for online trading facility.	
11.	Policies and Procedures	Document describing significant policies and procedures of the Trading Member.	15-21 & L15-23
12.	Electronic Contract Note [ECN]	Declaration for communication in electronic form on client Email id from Member.	22
13.	Letter of Authority	Authorisation for accepting instructions from third person.	L24
14.	Format for Written Order	Format for order placement in writing.	L26
15.	Disclosure & Declaration under PMLA 2002	Disclosure by Member & Declaration by Client Under PMLA 2002	23
16.	Declaration for Mobile Number	Declaration & permission to send information/alerts/SMS/call on the Mobile No.	24

* For any grievance/ dispute please contact Member Multiplex Commodity Mercantile (P) Ltd. at the above address or email id: info@onlymultiplex.com and Phone No.: 011-47055555

In case not satisfied with the response, please contact the concerned exchange(s) at MCX: grievance@mcxindia.com | NCDEX: askus@ncdex.com | NMCE: grievance@nmce.com | ICEX: compliance@icexindia.com | UCX: info@ucxindia.com and Phone No. MCX:91-22-6731 8888 | NCDEX: 91-22-6640 6084 | NMCE: 91-79-4008 6037 | ICEX: +91-22-30849728 | UCX: +91-22-67949494.

ACKNOWLEDGEMENT

I/We acknowledge receipt of the documents at serial 2, 3, 4, 11, 13 & 14. I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the document mentioned in above index shall be provided to me/us after Verification / Acceptance / Execution by the broker.

Client Signature Date

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

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

1. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID Card/Driving License.
2. PAN card with photograph.
3. Identity card/document with applicant's photo, issued by any of the following: Central/State Government and its Department, 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:

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

1. Unique Identification Number (UID) (Aadhaar)/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/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

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

E. List of people authorized to attest the documents:

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

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

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 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 number of whole time director/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of Individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copies 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 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 firm 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.
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 authorized to act as authorized signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary

PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

Acknowledgement No. _____

Multiplex Commodity Mercantile (P) Ltd.

100/28, Keshav Tower, Rajspour Market, Sector-9, Rohini, Delhi-110085

 NEW CHANGE REQUEST
 (Please tick ✓ the appropriate)
PHOTOGRAPH

Please affix your recent passport size photograph

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTON** is required and provide the details in the corresponding row)**A. IDENTITY DETAILS**

<input type="checkbox"/>	1. Name of the Applicant	
<input type="checkbox"/>	2. Father's / Spouse Name	
<input type="checkbox"/>	3a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	3b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married
<input type="checkbox"/>	3c) Date of Birth	DD MM YYYY
<input type="checkbox"/>	4a) Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify)	
<input type="checkbox"/>	4b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
<input type="checkbox"/>	5a) PAN	
<input type="checkbox"/>	5b) Unique Identification Number (UID) / Aadhaar, if any	
<input type="checkbox"/>	6. Specify the proof of Identity submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Other (please specify).....	

Signature Across photograph

B. ADDRESS DETAILS

<input type="checkbox"/>	1. Residence / Correspondence Address	
	City/Town/Village	PIN Code
	State	Country
<input type="checkbox"/>	2. Specify the proof of address submitted for Residence/Correspondence Address	
<input type="checkbox"/>	3. Contact Details	
	Tel. (Off.)	Tel. (Res.)
	Fax No.	Mobile No.
	Email ID	
<input type="checkbox"/>	4. Permanent Address (if different from above or overseas address, Mandatory for Non-Resident Applicant)	
	City/Town/Village	PIN Code
	State	Country

C. DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I 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 aware that I may be held liable for it.

Date

DD MM YYYY



Signature of the Applicant

FOR OFFICE USE ONLY**In Person Verification (IPV) Details:**

Name of the person who has done the IPV: _____

Designation: _____

Employee ID: _____

Name of the Organization: _____

Date of IPV: ____/____/____

Signature of the person who has done IPV _____

Seal/Stamp of the Intermediary

 Originals Verified and Self Attested Document copies received

Date ____/____/____

Signature of the Authorised Signatory

PART-I KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals) Acknowledgement No. _____

Multiplex Commodity Mercantile (P) Ltd.
100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085

 NEW CHANGE REQUEST

(Please tick ✓ the appropriate)

 Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

 (Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTON** is required and provide the details in the corresponding row)

A. IDENTITY DETAILS	
<input type="checkbox"/>	1. Name of the Applicant
<input type="checkbox"/>	2a. Date of incorporation
<input type="checkbox"/>	2b. Place of incorporation
<input type="checkbox"/>	3. Date of commencement of business
<input type="checkbox"/>	4a) PAN
<input type="checkbox"/>	4b) Registration No. (e.g. CIN)
<input type="checkbox"/>	5. Status (please tick ✓ any one) <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Partnership <input type="checkbox"/> Trust
	<input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> AOP <input type="checkbox"/> Bank <input type="checkbox"/> Government Body
	<input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> BOI <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> FPI-Category I
	<input type="checkbox"/> FPI-Category II <input type="checkbox"/> FPI-Category III <input type="checkbox"/> Others (Please specify)

B. ADDRESS DETAILS	
<input type="checkbox"/>	1. Address for Correspondence
	City/Town/Village
	State
	Country
	PIN Code
<input type="checkbox"/>	2. Specify the proof of address submitted for correspondence address
<input type="checkbox"/>	3. Contact Details
	Tel. (Off.)
	Tel. (Res.)
	Fax No.
	Mobile No.
	Email ID
<input type="checkbox"/>	4. Registered Address (if different from above)
	City/Town/Village
	State
	Country
	PIN Code

C. OTHER DETAILS (If space is insufficient, enclose these details separately (Illustrative format enclosed on page no. 5-6))	
<input type="checkbox"/>	1. Name, PAN, residential address and photographs of Promoters/ Partners/Karta/Trustees and whole time directors:
<input type="checkbox"/>	2a. DIN of whole time directors
<input type="checkbox"/>	2b. Aadhaar number of Promoters/Partners/Karta

D. DECLARATION	
I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.	
Date	
<input type="checkbox"/>	Name & Signature of the Authorised Signatory(ies)

FOR OFFICE USE ONLY	
In Person Verification (IPV) Details:	
Name of the person who has done the IPV:	
Designation:	Employee ID:
Name of the Organization:	
Date of IPV: / /	Signature of the person who has done IPV
<input type="checkbox"/>	Seal/Stamp of the Intermediary
<input type="checkbox"/>	Originals Verified and Self Attested Document copies received
Date / /	Signature of the Authorised Signatory

DETAILS OF AUTHORISED SIGNATORY(IES)/ PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS


Name of Applicant																										
PAN of the Applicant																										

4. Name																								PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
Relationship with Applicant (i.e. promoters, whole time directors etc.)																											
PAN																											DIN/Aadhaar No.*
Residential/ Registered Address																											
	City/Town/Village												PIN														
	State												Country														
Contact Details	Phone No.												Mobile No.														
	E-mail ID																										
Whether Politically Exposed	<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																										

5. Name																								PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
Relationship with Applicant (i.e. promoters, whole time directors etc.)																											
PAN																											DIN/Aadhaar No.*
Residential/ Registered Address																											
	City/Town/Village												PIN														
	State												Country														
Contact Details	Phone No.												Mobile No.														
	E-mail ID																										
Whether Politically Exposed	<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																										

6. Name																								PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
Relationship with Applicant (i.e. promoters, whole time directors etc.)																											
PAN																											DIN/Aadhaar No.*
Residential/ Registered Address																											
	City/Town/Village												PIN														
	State												Country														
Contact Details	Phone No.												Mobile No.														
	E-mail ID																										
Whether Politically Exposed	<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																										

***DIN for Directors / Aadhaar No. for others**

 Name & Signature of the Authorised Signatory(ies)	In Person Verification (IPV) Details:	
	Name of the person who has done the IPV: _____	
	Designation: _____	Employee ID : _____
	Name of the Organization: _____	
Date	_____ / _____ / _____	Signature of the person who has done IPV

PART-II FOR INDIVIDUALS & NON-INDIVIDUALS**PHOTOGRAPH**

Please affix Authorized Signatories recent passport size photographs

Sign across it

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. OTHER DETAILS		
1. Gross Annual Income Details (please specify)	Income Range per annum	Net-worth Amount (₹)
	<input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore	As on (date) (Net worth 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"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others (Specify)	
3. Please tick, as applicable	<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)	
4. Name, PAN, Residential Address and Photographs of Promoters/Partners/Karta/Trustees and whole time directors		
(If space is insufficient, enclose these details separately [Illustrative format enclosed on page no. 5-6]) <i>If you have a landline connection, kindly provide the same</i>		

B. BANK ACCOUNT(S) DETAILS (1)		
Bank Name		
Branch Address		
City/Town/Village		PIN Code
State	Country	
Bank Account No.		
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others	
MICR Code	IFSC	
BANK ACCOUNT(S) DETAILS (2)		
Bank Name		
Branch Address		
City/Town/Village		PIN Code
State	Country	
Bank Account No.		
Bank Account Type	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others	
MICR Code	IFSC	

7 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

C. DEPOSITORY ACCOUNT(S) DETAILS, If available

Depository Participant Name _____

Depository Name (NSDL/CDSL) 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.

D. 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.

S. No	Name of the National Commodity Exchanges	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	MCX	_____	<input type="checkbox"/> Sign if applicable
2.	NCDEX	_____	<input type="checkbox"/> Sign if applicable
3.	NMCE	_____	<input type="checkbox"/> Sign if applicable
4.	ICEX	_____	<input type="checkbox"/> Sign if applicable
5.	UCX	_____	<input type="checkbox"/> Sign if applicable

[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]

E. INVESTMENT/TRADING EXPERIENCE

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

F. 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	_____		

G. 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	_____		

H. 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.

I. DEALINGS THROUGH OTHER MEMBERS

If client is dealing through any other Member, provide the following details (in case dealing with multiple Members/AP's, 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 No.	
Concerned Member's Name with whom the AP is registered			
Registered Office Address			
City/Town/Village		PIN Code	
State		Country	
Phone No		Fax No	
Email Id			
Website			
Client Code			
Details of disputes/dues pending from/to such Member/AP			

J. INTRODUCER DETAILS (Optional)

Name of the Introducer			
Status of the Introducer	<input type="checkbox"/> Authorized Person	<input type="checkbox"/> Existing Client	
	<input type="checkbox"/> Others (please specify)		
Address of the Introducer			
City/Town/Village		PIN Code	
State		Country	
Phone No. of Introducer		Signature of the Introducer	

K. 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 on page No. 22)

L. NOMINATION DETAILS (For Individuals Only) 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	D D M M Y Y Y Y
Address of the Nominee			
City/Town/Village		PIN Code	
State		Country	
Phone No. of Nominee			

IF NOMINEE IS A MINOR, DETAILS OF GUARDIAN	
Name of Guardian	
Address of the Guardian	
City/Town/Village	PIN Code
State	Country
Phone No. of Guardian	Signature of Guardian

WITNESSES (Only applicable in case the account holder has made nomination)	
Name	Name
Address	Address
PIN Code	PIN Code
Signature <input checked="" type="checkbox"/>	Signature <input checked="" type="checkbox"/>

DECLARATION	
<p>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.</p> <p>2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.</p> <p>3. I/We further confirm having read and understood the contents of the 'Right 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 : www.onlymultiplex.com</p>	
Place	
Date	Signature of Client/(all) Authorized Signatory(ies)*
* Form need to be signed by all the authorized signatories.	

FOR OFFICE USE ONLY	
UCC Code allotted to the Client	
	Documents verified with Originals
Name of the Employee/AP/SB*	
Employee Code	
Designation of the Employee/AP/SB*	
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 Don't'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 www.onlymultiplex.com, for the information of the clients.

Date	Signature of the Authorised Signatory	Seal/Stamp of the Member
------	---------------------------------------	--------------------------

* AP : Authorised Person, SB: Sub-Broker

COMTRACK ACCOUNT DETAILS OF THE CLIENT

Multiplex Commodity Mercantile (P) Ltd.

Registered office address: 100/28, Keshav Tower,
Rajapur Market, Sector-9, Rohini, Delhi-110085

To be filled and submitted by clients holding COMTRACK account to the Member by clients.

1.	Name of Client			
2.	Client Address			
	City/Town/Village			PIN Code
	State	Country		
3.	PAN No.			
4.	Bank Details (other than as mentioned in Annexure 1 Part II):			
	Bank Name			
	Branch Address			
	City/Town/Village			PIN Code
	State	Country		
	Bank Account No.			
	Bank Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others
	MICR Number	IFSC Code		
5.	Name of Trading Member			
6.	Trading Member ID			
7.	COMTRACK Details of Client :			
	Sr. No	COMTRACK Participant Name	COMTRACK Participant ID	COMTRACK Account No. of Beneficiary
	1.			
	2.			
	3.			
	4.			

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my 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.



Place

Date

Signature of Client

NOTE

1. Please provide a certified copy of COMTRACK master or a recent COMTRACK holding statement issued by a COMTRACK Participant bearing name of Client.
2. In case the client has multiple COMTRACK account, Please provide proof and details of the same.
3. In case of PAN provide certified copy of PAN.
4. In case of Bank account provide copy of cancelled cheque as proof for all the bank account details provided.

TARIFF SHEET

	Percentage	Minimum Paisa		Percentage	Minimum Paisa		Percentage	Minimum Paisa
Square off same day	<input type="text"/>	<input type="text"/>	Square off another day	<input type="text"/>	<input type="text"/>	Delivery	<input type="text"/>	<input type="text"/>

NOTE:

1. Transaction charges as per Exchange
2. Stamp duty will be levied as per local laws
3. Service tax as per Service Tax Act
4. All customers will get Digital Contract Notes. Physical contract notes provided on request.
5. Charges/service standards are subject to revision at sole discretion of Multiplex Commodity Mercantile (P) Ltd.
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
7. Management reserves the right to freeze, discontinue or suspend any account if required.
8. In case of Physical Contract note are being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date would be charged toward minimum processing fee.

I/We, _____
 have read the above given information and agree to pay the same

Client Signature  _____

Date

D	D	M	Y	Y	Y	Y
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Multiplex Commodity Mercantile (P) Ltd.

Registered office address: 100/28, Keshav Tower,
Rajapur Market, Sector-9, Rohini, Delhi-110085

I/We have been / shall be dealing through you as my / our broker on different Commodity Exchanges. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions / authorisations given below.

1. **AUTHORIZATION FOR SHARING PERSONAL INFORMATION:** I / we understand that MCMPPL has outsourced/may outsource certain activities including but not limited to activities relating to KYC, Information Technology functions, technical support functions or any other functions as may be decided by MCMPPL to one or more third parties including group / related entities. I / we would further like to mention that I / we want to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues / products and to redeem/liquidate any investments. In view of the above I / we authorize MCMPPL to share my / our personal and other information with one or more third parties including group / related entities for any one or more of the above said purpose. I / we agree that any offers / information received shall not be contested on grounds of address / phone included in national do not call registry or any other such restrictive regulations/ laws.
2. **AUTHORITY TO PLEDGE THE SHARES / SECURITIES / COMMODITIES:** I / We wish to use my / our shares / securities / commodities as margin / collateral for our trading and therefore shall be ensuring that shares / securities / commodities provided by me / us in this regard shall be my / our absolute property and shall not have any prior encumbrance of any type. I / We hereby further authorize MCMPPL to pledge my / our shares/ securities /commodities lying with it as margin/ collateral with third parties such as Banks to meet the settlement/ margin obligation on my / our behalf as required from time to time. I / We would further like to mention that MCMPPL shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me / us to meet settlement obligation for my / our trading activities undertaken through MCMPPL.
3. **VERBAL ORDER ACCEPTANCE AUTHORISATION:** I/We agree and acknowledge that in order to avoid any disputes it is recommended by you that I/we should give instructions for order placement / modification and cancellation in writing in the format given along with Policies and Procedure Document, and take and take signatures of two authorised officers of the branch where orders are tendered along with company stamp on the carbon / photocopy of the instructions in acknowledgment of receipt of my our instructions. However it is my / our view that the fluctuations in market are so rapid that it is not practical to give written instructions for order placement / modification and cancellation. I / We therefore authorize you to accept my (our) / my (our) authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I / We understand the risk associated with verbal orders and accept the same, and agree that I / We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording etc.
4. **RUNNING ACCOUNT AUTHORISATION:** I/we am/are aware that as per client broker relationship I/we have the option to receive/deliver securities/commodities/make payments of funds to each other for settlement of dealings. However, I/we find it difficult to carry out repeated pay-in of funds, securities and commodities. Further, I/we also desire to use my/our securities, commodities and monies as margin / collateral without which we cannot deal / trade. Therefore I/we hereby direct and authorise you to maintain my/our client account on a running account(s) basis for me/us. I/We further authorize you from time to time debit securities, commodities and funds from running accounts and make pay-in of securities/commodities and funds to exchanges/clearing corporations/other receiving party (ies), to settle my/our trades / dealings. Similarly where I/we have to receive securities/commodities / funds in settlement of trades / dealings please keep the securities/commodities and monies with you and make credit entries for the same in running accounts of securities, commodities and funds maintained by you. I/We further authorize you that subject to your discretion and valuation please treat my/our securities/commodities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/trading. I/We understand that notwithstanding this

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authorisation, you may be required to settle my account subject to directives / regulations / circulars, issued by exchanges / Regulatory authorities.

I/We understand that I/We may revoke any of the above authorisations at any point of time.

5. FORMAT FOR CLIENT OPTING ONLINE TRADING FACILITY :

I/We wish to avail the following facility being offered by you:

Product / Facility (Please tick the appropriate)	
Lite (Browser based) <input type="checkbox"/>	Pro (EXE based) Annual Subscription Fees ₹ 999 <input type="checkbox"/>

- I/We also hereby authorize you to debit the annual subscription fees as applicable to my/our trading account for availing opted facility. The Subscription fee is non-refundable.
- I/We hereby authorize you to debit the yearly subscription fees as applicable for Exe based services opted by me/us on annual basis. In case I/We wish to withdraw the said facility, I/We will submit the related request in writing.
- I/We fully aware and agree to the provisions specifying possible risks, responsibilities, obligations and liabilities associated with internet based trading in terms of clauses defined under section "Internet & Wireless Technology based trading facility provided by Members to Client" of the document "Right and Obligations of Members, Authorized Persons and Client" of account opening form.

Client Signature  Date

Client Name

Client Code

Policy and Procedure as applicable to Clients of Multiplex Commodity Mercantile (P) Ltd. for dealing in Commodities Exchanges

1. Trading Related

- 1.1 The Broker (also referred to as Member, Exchange Member and/or as referred in bye laws, rules, regulations of the Exchange) recommends that Client (also referred to as Constituent, Non-member Client and/or as referred in bye laws, rules, regulations of the Exchange) places orders in writing and takes acknowledgement as per the format available from the Broker, so as to avoid any future disputes. The Client may also choose to place orders verbally (by visiting the branch or through telephone), through e-mail, SMSs and /or through Internet based trading terminal which can be provided to the Client upon requirement of Client. The Client may authorize his authorized representative to carry out the above whose orders shall be binding on the Client.
- 1.2 The Broker advises that it is preferable that Client gives orders on the day the Client desires to trade, including orders for modification/ cancellation, which the Broker will punch in the trading system on a best efforts basis. However, if Client chooses to give orders in aftermarket hours then upon specific instruction of the Client, the Broker may attempt to enter them in the trading system on the next trading day however it may not be possible in all instances to do so.
- 1.3 Orders given by Client may or may not result in trades and the Client should continuously monitor the final outcome of the order. Where orders have resulted in trades the same may or may not result in delivery and the Client should continuously monitor his pay in / payout obligations.
- 1.4 The Client is informed that as an additional service measure the Broker provides online access through its web portal for which Client has been provided Online Login / CRN and password, Client is able to go through entire trading, holding, contract note, bill and other details and can download / print the same through this facility. Client must access transactions in his account on regular basis and report discrepancies if any observed urgently to the Broker so as to enable Broker to take such remedial action as may be possible.
- 1.5 No employee, Authorised Person, director or any other agent of the Broker is authorized to offer any Portfolio Management Services or Portfolio Advisory Services or to give any assurances of profits, or to manage the account of the Client in any discretionary manner. The Client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the Client should not enter into any personal/private mutual understanding with any employee, Authorised Person, director or any other agent of the Broker.
- 1.6 The Broker will not be providing the Client with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of any trading or investment and as such all trading / investment and disinvestment decisions are based on the Client's own evaluation of financial circumstances and investment objectives. This extends to any decision made by the Client on the basis of any information (including research reports) whether paid for or given free, that may be made available by the Broker including that on the website/trading platform/through SMS/ email / letters etc. The Broker does not represent that the information, research / opinions if given is/are accurate or complete or shall be so. The Client is advised that any information based on the research of the Broker or other external sources is merely an estimation of the viability or otherwise of certain investments, and the Broker shall not be deemed to have assumed any responsibility for such information. The Client should seek independent professional advice regarding the suitability of any investment decision. Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates shall not be liable for any trading losses or other losses, costs or damage incurred by the Client consequent upon relying on information, research / opinions or advice or any other information by the Broker. The facilities/data/ research shall be provided to Client on as is where is basis only, for personal use and all rights in the same shall exclusively rest with the Broker, and Client is not entitled to share it whether for consideration or otherwise with any third party without a formal written authorisation by the Broker.
- 1.7 Where prima-facie it appears that trading system is suffering from some problems such as incorrect trading / holding/ open positions being shown etc. the Client should immediately bring the problem to the notice of the Broker and act only after the problem has been resolved / or as per advice given by the Broker. The Client understands that any action of Client in such situation without informing the Broker or not acting in accordance with the directions of the Broker may cause loss in his account or may cause loss to be suffered by Broker / any other Client, which Client may need to make good.
- 1.8 The Broker may record conversations of the Client over telephone/in person however the Broker shall not be obliged to do so and absence of availability of recordings shall not render any order/transaction unenforceable against the Client, in as much as the orders can be placed over mobile phones, through visiting the branch and the recorded orders are also liable to damage/erasure on account of virus/capacity overrun of the machine and not all lines are on recording machines.
- 1.9 Subject to regulatory requirements of particular mode to be used for certain information / documents, the Broker may send various information such as, documents, bills, margin statements, statement of accounts etc., to the Client through any one or more of the following means i.e. post, registered post, speed post, courier, telegram, voice mail, SMS, telephone, messages on trading platform, through word of mouth by the agents of the Broker, by

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- displaying it on the website of the Broker or making it available as a download from the website of the Broker, displaying it on the notice board of the branch, newspaper advertisements or if circumstances so require, by broadcast over radio/television and where the Client has provided email address, then these information may also be sent by the Broker through email. The service providers such as postal authorities, Courier Company, phone / SMS service providers etc., shall be agents of the Client and the delivery of the information shall be complete when the Broker delivers the communications to such service providers.
- 1.10 The Client should review all information sent to the Client including contract notes etc. immediately upon receipt and revert to the Broker with the discrepancy if any (including if any trades in the account are not as per Client directions / orders) at the earliest (and in any case within exchange / regulator prescribed time limit, if applicable) of the receipt of the same to allow the Broker to take remedial steps if any are possible. Client is further advised that due to above regular dissemination / dispatch of information the Client shall know the quantum of funds / securities etc. which should be received by him in regular course of trading etc. Therefore where Client comes in possession of assets of the Broker (including those of any third party such as bank / other Clients) which do not appear to belong to him, (whether due to system, software / hardware and / or human failure / fraudulent acts) the same shall be held by the Client in trust and returned suo-moto to the Broker.
 - 1.11 The Client shall forthwith cease trading and inform the Broker in the event the Client becomes ineligible to deal with the Broker on account of any court, exchange or regulatory action.
 - 1.12 The Broker shall be entitled to disseminate information about defaults made by the Client to third parties.
 - 1.13 The Client shall not work as an Authorised Person without prior written permission of the Broker and only after seeking appropriate registration with respective registering authorities.
 - 1.14 The Client shall also not deal through the Broker on an exchange of which the Client himself is a Broker, except with prior written permission from relevant authority. The Client shall also not deal through other Broker on an exchange of which the Client himself is an Authorised Person, except with prior written permission from relevant authority.
 - 1.15 The Broker shall be entitled to maintain books of accounts of the Client separately/collectively across exchanges/segments of exchanges and/or other services rendered by Broker to Clients.
 - 1.16 The records as provided by the Broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of Broker and the Client. Printouts taken from trading system or any such downloads etc. which are taken by the Client from trading system may not give the correct picture and therefore shall not be the official record which bind the Broker and the Client.
 - 1.17 The Client shall upgrade to the newer versions of trading software/back-office software etc. on account of changes made by the Broker and/or any other service provider like depositories/ Banks etc.
 - 1.18 The existence of Broker Client relationship does not imply that Broker is liable to provide each and every service to the Client, and services may not be provided in case the Client does not fulfill the necessary conditions for the same.
 - 1.19 Client is informed that any loss due to any erroneous order entry / erroneous order modification or otherwise may be entertained by the Broker only to the extent of insurance claim received.
 - 1.20 The Client shall not, either acting alone or in concert with others, directly or indirectly holds and control excess number of permitted contracts as fixed by exchange from time to time. The Client shall not exercise a long or short position, whereby Client would have either acting alone or in concert with others, directly or indirectly exercised in excess of permitted limits as fixed by exchange from time to time.
 - 1.21 The Broker provides electronic password generation facility to its clients and the Client understands that using this facility the Client can generate / change password for his account. The Client hereby agrees and accepts that the Broker in no way shall be responsible for any delay in receipt of password from the system. The Client shall be solely responsible for maintaining secrecy of the password, so generated/ changed, and the Broker in no way shall be responsible for the misuse of the said password by any person other than the Client / authorized person of the Client.
- ## 2. Exposure and Margin Related
- 2.1 The Broker may from time to time impose and vary limits on the orders that the Client can place through the Broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of commodities/ contracts in respect of which orders can be placed etc.). The Client is being made aware that the Broker may need to vary or reduce the limits or impose new limits urgently on the basis of the Broker's risk perception and other factors considered relevant by the Broker including but not limited to limits on account of exchange/ regulatory directions/ limits (such as Broker level/ market level limits in commodity specific / volume specific exposures etc.), and the Broker may be unable to inform the Client of such variation, reduction or imposition in advance. The Client is being made aware that under such circumstances the orders of the Client have to be in accordance with revised parameters, which may even result into loss to the Client.
 - 2.2 The Client is not entitled to trade without adequate margin / security and that it shall be Client's responsibility to ascertain beforehand the margin / security requirements for Client's orders / trades / deals and to ensure that the required margin / security is made available to the Broker in such form and manner as may be required by the Broker. If the Client's order is executed despite a shortfall in the available margin, the Client shall make up the shortfall suo-moto immediately. The Client is further informed that

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Client shall be responsible for all orders (including any orders that may be executed without the required margin in the Client's account) &/ or any claim / loss/ damage arising out of the non-availability /shortage of margin / security required by the Broker& / or exchange &/or regulator.

- 2.3 The Broker is entitled to vary the form (i.e., the replacement of the margin / security in one form with the margin / security in any other form, say, in the form of money instead of bank guarantee/shares) &/or quantum &/or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin / security deposited by the Client with the Broker are not eligible for any interest unless specifically agreed to.
- 2.4 The Broker is entitled to include /appropriate any /all pay out of funds & / or commodities towards margin / security.
- 2.5 As a measure of risk containment the Broker may subject, orders of the Client to prior risk control assessment (such as checking availability of margin) before allowing the same to go into the trading system.
- 2.6 The Client is informed that the Broker may elect to communicate / advise from time to time the parameters for the calculation of the margin / security requirements as rate(s) / percentages(s) of the dealings, through any one or more means or methods as described / prescribed and once parameters for margin / security requirements are so communicated , the Client shall monitor Client's position (dealings / trades and valuation of contracts / commodity) on Client's own and provide the required / deficit margin / security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Broker to the Client&/or whether or not such communication is received by the Client.
- 2.7 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 closing of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.
- 2.8 Where the Client chooses to clear his trades through Professional Clearing Broker (PCM) , then the Broker shall revert such trades as are not confirmed by the PCM to the Client who shall be then liable to not only pay all the margins on the same but to also settle the trading obligation.

3. Corporate Action

- 3.1 If Client has kept securities in Broker's margin account for use as margin, the Client should continuously monitor if any corporate benefits are proposed/ offered by the issuer company(ies) of such securities and get the securities transferred to his personal demat account to receive the corporate benefits, the Broker shall not be required to make the applications for proposed/ offered corporate action/ benefits Broker, in exceptional circumstances, upon specific written request, may attempt to seek corporate benefits for and on behalf of the Client while keeping the custody of securities with its own self, however the same shall be without any warranty/guarantee that the corporate benefits shall be received. The Client shall also provide funds and application etc. well in time to allow the Broker to take

necessary action.

- 3.2 Where any corporate benefits come into the Broker's account, upon any written request / agreed settlement procedures the same shall be held as part of existing margin/collateral, and shall be released to the Client upon written request / as required under applicable regulatory requirements.
- 3.3 The Client understands that Broker advises and recommends that Client should take buy / sell positions in contracts with prior payment to Broker of the full settlement / expiration price of the contract. However, Client may choose, with attendant risks, to enter into contracts with payment of various margins and up front amounts payable.

4. Payment and Settlement Related

- 4.1 The Broker may debit charges for other services such as depository, charges on account of dishonour of cheques (but shall have the right to proceed under law against the Client for dishonor as well) , charges for issuance of demand drafts, NEFT/RTGS, SMS charges, research report charges, administrative charges-offline for offline order on per executed order, minimum processing fee charges etc. to the Client's account.
- 4.2 The Broker does not accept cash and in no event should the Client make any payments to the Broker, Broker's employees, Broker's Authorised Persons and/or any agent of Broker by cash.
- 4.3 The Client must make payments from his own bank account through a bank instrument/ banking channel. The Broker may demand a proof that the payments are being made by the Client from his own account without which the Broker may not give credit to the Client.
- 4.4 PAYMENT BY THE CLIENT SHOULD BE MADE IN THE NAME OF BROKER- "MULTIPLEX COMMODITY MERCANTILE (P) LTD." ONLY THROUGH BANK INSTRUMENT/ BANKING CHANNEL. THE BROKER SHALL NOT BE RESPONSIBLE FOR PAYMENT IN ANY OTHER NAME.
- 4.5 The Client should never leave any blank instrument(s) such as cheques / depository instruction slips (DIS) etc. with Broker or Broker's employees, Broker's Authorised Persons and/or any agent of Broker, so as to disallow any mis-use, delayed banking etc.
- 4.6 The Broker shall make delivery of funds/commodities to the Client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering Client.
- 4.7 Broker shall not be responsible for any claim/ loss/ damage arising out of quality variation or any delay in physical handover of delivery by exchange/ exchange accredited warehouses against purchase obligation of the Client.
- 4.8 Client should ensure full payment of all margins including those on derivatives transactions and should also not keep account in debit, in the event any amounts are overdue from the client towards trading or margin or on account of any other reason the broker will charge 18% per annum to

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client as delayed payment charges. As the cost of funds to the broker varies depending on economic conditions the rates shall be determined from time to time and will be communicated through email, SMS, web-site (Online Login), periodic a/c and other statements etc.

- 4.9 The Client should not indulge in trading activity which is against law, rules and regulations. Clients trading activity should not be aimed at disturbing market equilibrium or manipulating market prices etc. If the Client does so, the Broker may keep in abeyance the payout funds or commodities till such time that the Client has been able to clearly demonstrate that his actions were not mala fide in any manner.
- 4.10 The Broker may impose fines / penalties etc. for any orders / trades / deals / actions of the Client which are contrary to this document / rules / regulations / bye laws of the exchange or any other law for the time being in force. Further where the Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the Client, the same shall be borne by the Client. The Client is required to pay to the Broker brokerage, commission, fees, and all taxes, duties, levies imposed by any other authority including but not limited to the exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, stamp duty, and service tax, incidental expenses such as postage, courier etc. as they apply from time to time to the Client's account / transactions / services that the Client avails from the Broker.
- 4.11 The Client shall submit the delivery as per contract specification for all sale obligation(s) within designated dead lines specified by the Broker, in case of any default/delay in delivery, any penalty / losses imposed by exchange/clearing corporation/ regulatory body including incidental costs will be borne by Client itself.
- 4.12 Subject to regulatory changes, all contracts culminating in delivery (which are not squared off and information for giving and taking delivery is given by the Clients) would be transaction for purchase and sales between the Clients inter-se and the Clients would be personally liable to each other though the contract and relationships are governed and regulated by the Bye Laws, Rules and Regulations of the Exchange.
- 4.13 Client shall be required to have Client's duly authorised agent to carry the work for effecting / taking the deliveries, if they do arise. Client is cautioned that if Client fails to advise the Broker in advance (number of days advance notice to vary as per requirements of exchange / contract /Broker) in writing the details of the agent who shall undertake the relevant activities, related to any delivery receipt/ transfer out, lifting of delivery, for and on behalf of the Client, the Broker shall stand authorised to appoint an agent on Client's behalf. Broker shall not be responsible for any acts of omission / commission or deficiencies of the services of the person who is appointed as agent for the Client. Client is informed that agent appointed by Broker shall be Client's direct agent and not a sub-agent of Broker and Client shall be directly responsible for all acts of omission and commission of the agent appointed for and on behalf of the Client by the Broker. Client shall confirm the acts of agent appointed by Broker and shall bear any & all losses which may occur on account of action taken / omitted to be taken by said agent. Client is informed that all charges, cost, levies and taxes etc associated with or incidental to the deliveries including cost/fee/ charges of agent appointed for and on behalf of the Client by the Broker shall be fully borne by Client alone.
- 4.14 To avoid disputes regarding delivery (date / time etc.) of any request/ information to the Broker it is advised to the Client that all requests shall be submitted by Client in writing well in advance, and the Client shall ensure to take due receipt of each request on the photocopy/ carbon copy of such request from the manager and one more officer of relevant branch/ office of the Broker along with company stamp. Client is further informed that due to operational reasons, action on the Client's request by the Broker may not be immediate but are likely to take reasonable time, and shall be subject to other factors which disallow action upon the request being made, without limitation and as illustration existing debit balances, open exposures etc. may disallow action by Broker on payout requests.
- 4.15 Electronic Payment Gateway for Net Banking Services: The Broker may provide on its website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from the Client's bank account to the trading account of the Client with the Broker. The Client understands and accepts that the Broker is only providing access to the electronic fund transfer facility provided by the banker of the Client through the Broker's website by means of an interface and the Broker is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising therefrom, the Client undertakes not to make the Broker a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Payment Gateway and agrees that the Broker's liability shall at all time be limited to the amount actually received in its account by electronic transfer from the Client's account with the Bank.
- 4.16 Remit Funds payout electronically into client's bank account: Notwithstanding anything contained in this document and without prejudice to the rights and obligations of the parties inter-se, the Client, hereby agrees and authorizes the Broker to transfer funds due for payment to the Client through Net Banking / EFT / RTGS / NEFT for the credit of designated bank account(s) of the Client details of which are given by it to the Broker. Client shall also give to the Broker a cancelled cheque leaf of the designated Bank account for this purpose. The Client agrees that it shall not hold the Broker liable if any fund is credited to wrong account(s) as a result of the Client providing incorrect account details to the Broker. The

Broker reserves the right to reject request of the Client for electronic fund transfer or to discontinue the facility without assigning any reason. The Client also understands and agrees that the Broker shall not be responsible for any delay/ failure in transmission of electronic payout of funds due to any reason whatsoever and undertakes to not hold the Broker liable in this regard.

- 4.17 The Client hereby unequivocally understands and agrees that the Broker in its sole discretion can at any time, with prior intimation to the Client, change its tariff structure.

5. Clearing & Settlement

- 5.1 The Broker maintains centralized banking and commodities handling processes and related banking and depository accounts at designated place. The Client shall ensure timely availability of funds/commodities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting Client's pay in obligation of funds and commodities. The Client is being made aware that non-availability / short availability of funds / commodities by the Client in the designated account(s) of the Broker for meeting pay in obligation of either funds or commodities may result into loss to the Client. Further, if the Client gives orders / trades in the anticipation of the required commodities being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of commodities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or Broker level etc., the same may also result into losses to the Client.

- 5.2 The benefit of any bank instrument deposited by the Client towards his margin /security / pay in obligation may be given only on realization of the same from bank and its accounting in books of accounts of the Broker.

- 5.3 Where the margin /security is made available by way of commodities or any other permissible property, the Broker may decline its acceptance as margin / security & / or to accept it at such reduced value as the Broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other suitable method. The Broker may cancel pending orders and to sell/close/liquidate all open positions/ commodities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The Broker may prescribe/change stipulated margin percentage depending upon exchange / regulatory requirements and/or changes in the market conditions etc. The Client is made aware aware that such sale/ close out/ square off may result into losses.

- 5.4 In case open position (short/long) gets converted into delivery due to non-square off because of any reason whatsoever, the Client will provide commodities/funds to fulfill the pay-in obligation failing which the Client will have to face auctions or internal close outs; in addition to this the Client will have to pay penalties and charges levied by exchange in actual and losses, if any.

- 19 5.5 The Broker is entitled to prescribe the date and time by

which the margin / security is to be made available and the Broker may not be able to give benefit of the same towards margin / security after such deadline for margin/security expires. In the event of Client not adhering to exchange, regulatory and / or Broker prescribed norms / requirements including those of maintenance of margin, timely pay-in etc. the Broker shall have the right without any further notice or communication to the Client to take any one or more of the following steps:

- To withhold any payout of funds/ commodities.
- To withhold /disable the trading / dealing facility to the Client.
- To liquidate one or more commodity(s) of the Client by selling the same at market rate in such. It is informed to the Client that commodities here include commodities which are pending delivery/receipt.
- To liquidate / square off partially or fully the position of sale & / or purchase in any one or more commodities / contracts in such manner and at market rate.
- To take any other steps which in the given circumstances, the Broker may deem fit.

The Client understands that due to steps enumerated herein above, Client may incur loss. Hence, Client shall ensure availability of funds/security in designated account(s) of the Broker by deadline defined.

- 5.6 The Client hereby authorizes the Broker to take all such steps on the Client's behalf as may be required or deemed necessary by Broker for compliance with the exchange provisions or any other law or provisions or to complete or settle any transactions entered into through or with the Broker or executed by the Broker on behalf of the Client. Though the Broker may take such steps, however the primary responsibility to adhere to Laws, Rules, Regulations, Circulars and pay-in requirements etc. shall always be of the Client only.

- 5.7 Client is hereby advised that Broker may mark to market Client's open positions / contracts on real time basis and if the available clear balances in the account of the Client are not sufficient to meet the real time sum total of amount(s) required towards margins and any other demands by Broker&/or exchanges (including real time mark to market margin) even though not posted in the running account [as the posting is not done on real time basis], then the Broker may square off / close out / dispose off any or all open positions/contracts/available collaterals of the Client. Given the dynamics of market, Broker is not likely to be able to give prior information/ notice to the Client before carrying out the actions as required. Clients advised that such actions may entail some losses etc. to Client's Account. Hence client should monitor his trading and disallow any such eventuality.

- 5.8 In case Client has made any purchase and the delivery of the same falls short inter-Client at the Broker level, the Broker (if Broker deems fit) make purchases of the same in the market to make available the said delivery(ies) to receiving Client.

Continued on next page

5.9 In case Client has made any sale and due to any exigencies Client is unable to make available the delivery of the same in the designated account within the designated time and it is an inter Client delivery at Broker level, the Broker (if deemed fit) may make purchases of the same in the market on Client's behalf to make available the delivery to the opposite party.

6. Sales Tax and other Registrations

6.1 Clients who intend receiving/giving delivery should ensure that they have all the proper local registration numbers/documents such as sales tax registration etc. on or before the settlement of the delivery. Deliveries given / received by Clients who are not registered as per the applicable laws and guidelines or whose registration is not valid on the date of settlement / delivery may not be liable to collect the sales tax / any other tax if applicable from Buyers. Further the seller may be obliged to collect any appropriate monetary compensation demanded by the APMC / other authorities / sales tax department due to the unregistered status of Client.

6.2 Registration may need to be obtained by the Client / participant in the State where the delivery is affected or as per law applicable at the relevant time/ place. The Client/participant will have to register in all those states where any registrations are required including where the delivery center for the commodities is located.

6.3 Rates of tax for commodities may differ from State to State / place to place. In the case of trades culminating into delivery, tax as per the delivery center/state may be payable. Laws may provide for levy of additional tax, turnover tax, resale tax, etc. which may or may not be recoverable from the buyer depending on the provisions of the local State sales tax / any other applicable law and Broker will not be responsible for the same.

6.4 It is obligatory on the part of the registered seller to collect the sales tax from the buyer and file the returns as per the defined procedure of the relevant local sales tax laws.

7. Deregistering / Suspending a Client and Termination of relationship

7.1 The Broker may suspend the account of Client with immediate effect and if need be de - register / terminate the Client in any of the following circumstances:

- a. If the actions of the Client are prima facie illegal / improper or such as to manipulate the price of any commodities or disturb the normal / proper functioning of the market, either alone or in conjunction with others, in such eventuality the Client acknowledges that the Broker reserves the right to keep in abeyance the payout/ delivery of funds / securities or any other assets to Client as may be deemed fit by the Broker depending upon the gravity of the violation or/and through trades done by/on behalf of the Client considered as prima facie illegal / improper by the Broker / the relevant exchange(s) / regulators(s). The Client further understands and accepts that the Broker may levy penalty for trades done by / on behalf of the Client which are considered prima facie illegal / improper by the Broker / the relevant exchange(s) /

regulator(s), as may be deemed fit by the relevant exchange(s) / regulator(s) / Broker.

- b. If there is any commencement of a legal process against the Client under any law in force;
- c. On the death/lunacy or other disability of the Client;
- d. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- e. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- f. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- g. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- h. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security;
- i. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- j. If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the Broker;
- k. If the Client is in breach of any term, condition or covenant with the Broker.
- l. If any covenant or warranty of the Client is incorrect or untrue in any material respect;
- m. Client causes nuisance and disruption in the functioning of the Broker.

7.2 Information about default by a Client may be brought to the notice of third parties including but not limited to trade associations, the relevant exchange(s) &/or legal / regulatory authorities. In case where defaulting Client is a corporate entity/partnership/ proprietary firm or any other artificial legal entity, then the name(s) of director(s)/ promoter(s)/ partner(s)/ proprietor as the case may be, may also be communicated by the Broker.

7.3 The Client may request the Broker to temporarily suspend his account, Broker may do so subject to Client accepting / adhering to conditions which may be including but not limited to prior settlement of account and/ or other obligation. The Broker may withhold the payouts of Client and/or suspend the trading account due to Client's trading being prima facie illegal / improper or due to judicial or / and regulatory order/action requiring Client suspension.

7.4 The Broker may disable / freeze the account & / or trading facility / any other service facility,

Continued on next page

- a. if, prima facie illegal, the Client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the Broker so apprehends.
- b. if the Client creates any encumbrance over the assets placed as margin, or otherwise takes any action towards creation of any encumbrance over the assets placed as margin;
- c. if the title of the Client to the asset(s) placed as margin/ security is in jeopardy or if there is an order of attachment or lien against the asset(s) placed as margin/security;
- d. if an Event of Default has occurred under any other agreements entered into by the Client with the Broker or Broker Group companies.

8. Other significant policies and procedures

- 8.1 Proprietary Trading: The broker does undertake proprietary trading.
- 8.2 The Client is hereby advised to use the facilities, data and information which is provided by the Broker or which may become available to the Client as a result of Client's relationship with the Broker purely for purposes permitted by the Broker and only for personal use and should never disseminate any information or data for any reason or purposes whatsoever except under a written authority signed by a director of the Broker. It is advised to the Client that all intellectual properties (IP) in any such information / data shall remain with the Broker and / or exchange and / or relevant service / information provider and Client shall not remove any IP markers etc. from any documents/ information received.
- 8.3 The Client is informed that his /her/ its utilization of any other service / facility from Broker, shall to the extent possible be covered by the terms & conditions of this document.
- 8.4 The Client is informed that all assets of the Client (including but not limited to monies/ securities or any other property) which the Broker may hold on Client's account shall be held subject to a general lien for the discharge of Client's obligations to the Broker. Client is further advised neither to close any account where such assets are kept including but not limited to bank and/ or depository accounts nor to mark any lien / pledge on such assets including but not limited to accounts where the securities and / or monies which are linked to his trading account are lying till such time that his account is fully settled with the Broker for all obligations.
- 8.5 This document is not a solicitation for and / or offer to buy / sell any investments and the Broker does not intend it to be used / disseminated or used in any jurisdiction where the

services / facilities contemplated to be provided by the Broker to the Client are not permitted as per law as applicable. The Client is advised to ascertain that it is lawful for him under laws applicable to him to enter in the relationship with the Broker as contemplated under this document.

- 8.6 Any failure of Broker to enforce at any time any terms contained in this document shall not be construed to be the waiver of any terms or of the rights.
- 8.7 The Broker may grant / transfer to any person/ bank/ financial institution, for any purpose whatsoever, any of its rights and/or responsibilities under this document including the right to any amounts receivable by the Broker or any other rights and may grant/ transfer such rights by way of a sale or as discharge or as a security and any person to whom such rights are granted / transferred shall be entitled to the full benefit of such rights.
- 8.8 The Broker and the Client shall also be entitled to terminate the relationship without giving any reasons to the other party, after giving notice in writing of not less than one month to the other party. Notwithstanding any 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 document (or which are by nature subject to this document) 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. Except where the laws / byelaws /rules provide otherwise, the Broker and client shall be subject to exclusive jurisdiction of courts of law at Delhi.
- 8.9 If any provisions of this Policy and Procedure document are held invalid or unenforceable by reason of any law, rule, administrative order or judicial decision by any court, or regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid / unenforceable provisions or terms were not contained herein.

9. Disputes Redressal

- 9.1 The Broker and the Client agree that they shall refer any claim and / or difference and/or disputes to arbitration as per the rules, byelaws and regulations of the concerned exchange and circulars issued there under as may be in force from time to time.

Client confirms having read & accepted the terms & conditions of this document titled "Policies and Procedure" inter-alia comprising clauses 1 to 9 along with their sub-clauses and agrees to be bound by all of them.

Client Signature 

Date | 0 | 6 | 2 | 0 | 1 | 7 | 8 |

Client Name

21 Client Code

To,

Multiplex Commodity Mercantile (P) Ltd.
Registered office address: 100/28, Keshav Tower,
 Rajapur Market, Sector-9, Rohini, Delhi-110085

Dear Sir,

I, _____ a client with Member
 M/s. Multiplex Commodity Mercantile (P) Ltd. of MCX, NCDEX, NMCE, ICEX and UCX 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 language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have 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 email id must be written in Own handwriting of the client.)

Client Name _____

Unique Client Code _____

PAN _____

Address _____

Client Signature _____

Place _____

Date _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name: _____

Details of the Corporate/Partnership Firm/Trust/etc. where I/We am/are affiliated

S. No.	Name	Entity Type	Nature of Business	Relationship	PAN
1.					
2.					
3.					
4.					


I/We hereby submit and agree to submit as the commitment every financial year the following documents to Multiplex Commodity Mercantile (P) Ltd. (MCMPL):

1. Audited Annual Accounts or
2. Self attested copy of Income Tax Return or
3. Any other Financial information as requested by the GCL

I/We further confirm that I/we invest in the Commodity Market with:

- My/our owned funds
- Borrowed Funds from Bank/NBFC or

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/Suspicious/Benami transactions being observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act.

Client Signature Date **DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002**

Dear Client!!

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts.

It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Forwards Market Commission (FMC), which includes a Commodity Brokers and any other intermediary associated with Commodities Market.

As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct on- going client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

Client Code :

Client's Name :



For Office Use Only :

Internal Ref. No. :

Client's Name :

Branch Code :

Branch Name :



MultipleX Commodity Mercantile (P) Ltd.

CIN : U74999DL2003PTC122612

FMC Code

MCX/TCM/CORP/0176, NCDEX/TCM/CORP/0020, NMCE/TCM/CORP/0133,
ICEX/TCM/CORP/0371, UCX/TM/CORP/0041

Regd. Office :

100/28, Keshav Tower, Rajapur Market, Sector-9, Rohini, Delhi-110085 | Ph.: 011-47055555 | Fax : 011-27561629

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