

S.No.:



# Client Registration Form

Individual / HUF / Partnership Firm / Corporate



**CROWN**

*Your Goals....Our Solutions*

**CROWN BULLION AND  
COMMODITIES PVT LTD**

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

DP Client ID : \_\_\_\_\_

Client Code(UCC) : \_\_\_\_\_

STAMP OF BRANCH / AP WITH NAME & ADDRESS

\_\_\_\_\_  
\_\_\_\_\_

## GENERAL INSTRUCTIONS TO FILL THE FORM

<b>A.</b>	<b>FILL IN BLOCK LETTERS WITH BLACK/BLUE PEN.</b> ☞ All correction / overwriting should be counter signed by client.	<input type="checkbox"/>
<b>B.</b>	<b>PROVIDE ALL NECESSARY DOCUMENTARY PROOFS (AS PER DOCUMENT CHECKLIST)</b> ☞ Name of client on all documents should match with name in KYC Form on page A1/A3 - (For minor difference, fill declaration on page C8)	<input type="checkbox"/>
<b>C.</b>	<b>CLIENT SIGNATURES</b>	
	<b>INDIVIDUAL</b>	<b>NON-INDIVIDUAL</b>
	On Documentary Proofs	All documentary proofs should be signed by authorised signatory(ies) / Karta / Partner with rubber stamp
	On KYC Form: marked as ☞ Sole / First Holder	Individual should sign at 16 places  Karta / Partners / All authorised signatory(ies) should sign with rubber stamp
	☞ Client signatures should match with sign on PAN card / DL / Passport (in case of individual) OR account opening payment cheque. ☞ In case of any mismatch provide declaration on page C8	
<b>D.</b>	<b>WITNESS SIGNATURES</b> with name & address required at 1 places (marked as ☉-☉ on pages A7)	
<b>E.</b>	<b>REGISTERED AP/ RM signature with stamp</b>	
	<b>INDIVIDUAL / NON INDIVIDUAL</b>	<input type="checkbox"/>
	In Person Verification (IPV) on Page A2	<input type="checkbox"/>
	On all copies of client documents	<input type="checkbox"/>
	Introducer details and signature on Page A7	<input type="checkbox"/>
<b>F.</b>	<b>Fill Brokerage Structure on Page A9</b> Approval is provided (if required)	
<b>G.</b>	<b>Provide unique Email ID &amp; Mobile Number on Page A1/A3</b> Note: Provide your mobile number & E-mail ID to receive information of your transactions directly from Exchange on your mobile / E-mail at the end of the day.	

### TABLE OF ACCEPTABLE DOCUMENTS

TYPE OF ENTITY		DOCUMENT TYPE	(Any 1) <sup>1</sup>	(Any 1) <sup>2</sup>	(Any 1) <sup>3</sup>	(Any 1)	
			Pol (Proof of Identity)	PoA (Proof of Address)	Bank a/c & MICR/IFSC Code Proof	Demat A/c Proof	
FOR INDIVIDUALS ( & KARTA / DIRECTORS / IND. PROMOTERS / PARTNERS / AUTH. SIGN.)	FOR CORPORATE / PARTNERSHIP	FOR HUF	PAN Card (Mandatory)	<input type="checkbox"/>			
			Cancelled Cheque (with <b>Client Name</b> & A/c No. <b>pre-printed</b> )			<input type="checkbox"/>	
			Bank Verification Letter (with rubber stamp & sign of Bank Manager) *			<input type="checkbox"/>	
			Bank Statement (either on bank stationery or with rubber stamp & sign of Bank Manager) *		<input type="checkbox"/>	<input type="checkbox"/>	
			Bank Passbook (if handwritten, then with stamp of bank) *		<input type="checkbox"/>	<input type="checkbox"/>	
			Demat A/c Client Master (with Client Name, PAN, DP & Client ID)				<input type="checkbox"/>
			Demat A/c Transaction or Holding Statement (with Client Name, PAN, DP & Client ID *)				<input type="checkbox"/>
			Landline Telephone / Electricity / Gas / Flat Maintenance bill *		<input type="checkbox"/>		
			Registered Lease** or Sale Agreement		<input type="checkbox"/>		
			Insurance Copy**		<input type="checkbox"/>		
			Driving License ** / Passport **	<input type="checkbox"/>	<input type="checkbox"/>		
			Voter ID	<input type="checkbox"/>	<input type="checkbox"/>		
			Aadhar (UID) Card (Mandatory)	<input type="checkbox"/>	<input type="checkbox"/>		
			Proof of Address - issued by Bank / any Govt. or Statutory Authority.		<input type="checkbox"/>		

### Please ensure

<b>1. Proof of Identity (Pol)</b>	<ul style="list-style-type: none"> <li>If Name/Photo/Signature on PAN Card is not clear, then submit additional Pol</li> <li>Copy of PAN Card is mandatory for all applicants</li> </ul>
<b>2. Proof of Address (PoA)</b>	<ul style="list-style-type: none"> <li>If correspondence &amp; permanent addresses are different, then proofs for both could be submitted</li> <li>Address in proof should match with address in KYC form</li> <li>In case of Individual - PoA in name of spouse may be accepted. In such case proof to establish relationship such as ration card, Passport, Marriage Certificate should be provided</li> <li>Office/Business/Shop Address if not acceptable as permanent address in case of individual</li> </ul>
<b>3. Bank + MICR/IFS Code Proof</b>	<ul style="list-style-type: none"> <li>Proof should contain IFS Code (11 digits) / MICR Code (9 digits) of Bank</li> <li>If name is not pre-printed on cheque - then submit additional proof containing the Bank A/c number and Name of Client</li> </ul>
<b>4. The Proof of Address of in the name of Spouse may be accepted.</b>	
* Documents should not be more than 3 months old	
** Documents having expiry date should be valid on the date of submission	

## DOCUMENTS REQUIRED - CHECKLIST

### FOR INDIVIDUAL

#### DOCUMENTS OF INDIVIDUAL

- PoI  PoA  Bank & MICR/IFSC Proof  Proof of Demat A/c  
(Provide any one proof of each, as per table)
- Photograph pasted on page A1  Latest ITR Copy

#### DOCUMENTS OF NOMINEE (required, if nomination facility is chosen)

- Photograph pasted on page A7

### FOR HUF

#### DOCUMENTS OF HUF

- PoI  PoA  Bank & MICR/IFSC Proof  Proof of Demat A/c  
(Provide any one proof of each, as per table)
- Latest ITR Copy

#### DOCUMENTS OF KARTA (Individual member in whose name HUF is formed)

- Photograph pasted on page A4
- PoI  PoA (Provide any one proof of each, as per table)

#### SIGNATURES OF ALL COPARCENERS (family members other than Karta)

- Signatures on page C2 / Deed of declaration of HUF (any one)

### FOR CORPORATE

#### DOCUMENTS OF CORPORATE

- PoI  PoA  Bank & MICR/IFSC Proof  Proof of Demat A/c  
(Provide any one proof of each, as per table below)
- Board Resolution for investment in commodity market with name of authorised signatory(ies) and mode of operations (jointly or severally)
- On Letter head of Company and should be certified by two directors
  - download format from [www.crownsec.com](http://www.crownsec.com)
- Articles & Memorandum of Association (Along with Certificate of Incorporation)
- Latest shareholding 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 / WTD / MD (to be submitted every year)
  - In case any corporate shareholder holding more than 25% shares, shareholding pattern of that corporate is also required
- Balance Sheets for last 2 financial years (to be submitted every year)

#### DOCUMENTS OF ALL WHOLE TIME DIRECTORS (WTD) / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATION

- Photograph pasted on page A4
- PoI  PoA (Provide any one proof of each, as per table below)

#### DOCUMENTS / SIGN OF ALL AUTHORISED SIGNATORY(IES)

- Photographs on page A8 / on letterhead of company
- Signatures on page A8 / on letterhead of company

#### DOCUMENTS OF ALL INDIVIDUAL PROMOTERS HOLDING CONTROL EITHER DIRECTLY OR INDIRECTLY

- Photograph pasted on page A4
- PoI  PoA (Provide any one proof of each, as per table)

### FOR PARTNERSHIP FIRM

#### DOCUMENTS OF PARTNERSHIP FIRM

- PoI  PoA  Bank & MICR/IFSC Proof  Proof of Demat A/c  
(Provide any one proof of each, as per table)
- Certificate of Registration (in case of registered Partnership Firms Only)
- Partnership Deed
- Authority letter ( download format from [www.crownsec.com](http://www.crownsec.com))
- Balance Sheet for last 2 financial years (to be submitted every year)

#### DOCUMENTS OF ALL PARTNERS

- KYC of all partners (Download from [www.crownsec.com](http://www.crownsec.com))
- Demat A/c will be opened in the name of partners
- Photograph pasted on page A4
- PoI  PoA (Provide any one proof of each, as per table below)
- DOCUMENTS & SIGN OF ALL AUTHORISED SIGNATORY(IES)**
- Photographs on page A8

### SOLE PROPRIETOR

- Sole Proprietor must make the application in his INDIVIDUAL name & capacity only
- If you are submitting bank details of Proprietorship firm as bank / income proof, Latest ITR Copy please provide letter from bank certifying name of individual proprietor

# INDEX

S. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
<b>DOCKET A</b>			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list. B. Document captures the additional information about the constituent relevant to trading account.	A1 – A6
2.	Nomination Form	Nomination form for Trading Account.	A7
3.	Disclosure	Disclosure information for pro - account trading.	A7
4.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	A9
<b>DOCKET B</b>			
1.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	B2 – B3
2.	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).	B4 – B9
3.	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchanges for education of the investors.	B10
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER</b>			
<b>DOCKET C</b>			
1.	Form for Registration and Verification of Mobile Number and Email Address	Request and Consent from client for Registration and Verification of Mobile Number and E-mail Address to receive SMS /E-mail alerts from the Exchange (MCX)	C1
2.	Declaration by karta & All Co-parceners	Documents providing details of family members in case of Hindu Undivided Family (HUF) (Compulsory for all HUF clients)	C2
3.	Additional Rights & Obligations	Additional Rights & Obligations of the client for trading on commodity exchange	C3
4.	Letter of Authority	1. Authorization for payment of Depository Participant Charges 2. Authorization to retain Credit Balance 3. Authorization for communication of financial products 4. Running account authorization 5. Authorization for not Providing Confirmation Slips 6. Authorization for verification of information from independent agency(ies)	C4
5.	FATCA & CRS Declaration	FATCA, CRS & Ultimate Beneficial Ownership (UBO) self certification form (Mandatory for Non-Individuals)	C5 -C6
6.	Letter of authority	Letter of authority authorizing relative for trading	C7
7.	Declaration	1. Declaration for Providing SMS and E-mail Alerts to Investors on Mobile and Email ID of Relative. 2. Declaration to be filled if the name on documents is different. 3. Declaration to be filled if client signature is mismatched from PAN Card and Bank	C8
8.	Electronic Contract Note Declaration	Authority to provide contract note electronically through e-mail	C9

**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) For particular section update, please tick(✓) in the box available before the section number and strike ffo the sections not required to be updated.



**For office use only**

(To be filled by financial institution)

Application Type\*  New  Update  
 KYC Number  (Mandatory for KYC update request)  
 Account Type\*  Normal  Simplified (for low risk customers)  Small

**1. PERSONAL DETAILS**

Prefix  First Name  Middle Name  Last Name

Name\* (Same as ID proof)

Maiden Name (If any\*)

Father / Spouse Name\*

Mother Name\*

Date of Birth\*  DD -  MM -  YY  YY

Gender\*  M- Male  F- Female  T-Transgender


Marital Status\*  Married  Unmarried  Others


Citizenship\*  IN- Indian  Others

Residential Status\*  Resident Individual  Non Resident Indian  Foreign National  Person of Indian Origin

Occupation Type\*  S-Service (  Private Sector  Public Sector  Government Sector )  
 O-Others (  Professional  Self Employed  Retired  Housewife  Student )  
 B-Business  X- Not Categorised

**PHOTO**



(1) 

**2. TICK IF APPLICABLE**  RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

Country of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*  Country of Birth\*

**3. PROOF OF IDENTITY (PoI)\***

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

A- Passport Number  Passport Expiry Date  DD -  MM -  YY  YY

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date  DD -  MM -  YY  YY

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type  Identification Number

**4. PROOF OF ADDRESS (PoA)\***

**4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS**

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhaar)  
 Voter Identity Card  NREGA Job Card  Others  please specify

Simplified Measures Account - Document Type

**Address**

Line 1\*

Line 2

Line 3  City/Town / Village\*

District\*  Pin / Post Code\*  State / U.T  Country

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \*

Same as Current / Permanent / Overseas Address details

Line 1\*

Line 2

Line 3  City /Town / Village\*

District\*  Pin / Post Code\*  State / U.T  Country

4.3 ADDRESS IN THE JURISDICTION DEATILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*(Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details  Same as Correspondence / Local Address details

Line 1\*

Line 2

Line 3  City /Town / Village\*

State\*  ZIP / Post Code\*  Country

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off)  -  Tel. (Res)  -  Mobile  -

FAX  -  Email ID

6. DETAILS OF RELATED PERSON

Addition of Related Person  Deletion of Related Person KYC Number of Related Person (if available\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Prefix  First Name  Middle Name  Last Name

Name\*

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\*

A- Passport Number  Passport Expiry Date

B- Voter ID Card

C- PAN Card

D- Driving Licence  Driving Licence Expiry Date

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government)  Identification Number

S- Simplified Measures Account - Document Type  Identification Number

7. REMARKS (If any)

8. APPLICANT 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.

• I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :  -  -  Place :



9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies

INSTITUTION DETAILS & KYC VERIFICATION CARRIED OUT BY

Name **CROWN BULLION AND COMMODITIES PVT LTD** Code

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN-PERSON VERIFICATION (IPV)

DOCUMENTS VERIFIED WITH ORIGINALS

CLIENT INTERVIEWED BY

Date:

Employee/Sub-Broker/AP Details:

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

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

Designation: \_\_\_\_\_

Signature: \_\_\_\_\_

N

**Know Your Client (KYC)  
Application Form**

Please fill in ENGLISH and in BLOCK LETTERS with black ink



Application No. :

**A. Identity Details (please see guidelines overleaf)**

1. **Name of Applicant** (Please write complete name as per Certificate of Incorporation / Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).  
 [Grid for name entry]

2. **Date of Incorporation** | d | d | / | m | m | / | y | y | y | y |  
**Country of Incorporation** [Grid] **City of Incorporation :** [Grid]

3. **Registration No. (e.g. CIN)** [Grid]  
**Date of commencement of business** | d | d | / | m | m | / | y | y | y | y |

4. **Status** Please tick (✓)  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust / Charities / NGOs  
 FI  FII  HUF  AOP  Bank  Government Body  Non-Government Organisation  
 Defence Establishment  Body of Individuals  Society  LLP  Others (Please specify) \_\_\_\_\_

5. **Permanent Account Number (PAN) (MANDATORY)** [Grid] Please enclose a duly attested copy of your PAN Card

**B. Address Details (please see guidelines overleaf)**

1. **Address for Correspondence**  
 [Grid for address entry]  
 City / Town / Village [Grid] State [Grid] Country [Grid] Postal Code [Grid]

2. **Contact Details**  
 Tel. (Off.) (ISD) (STD) [Grid] Tel. (Res.) (ISD) (STD) [Grid]  
 Mobile (ISD) (STD) [Grid] Fax (ISD) (STD) [Grid]  
 E-Mail Id. [Grid]

Provide your mobile number & E-mail ID to receive information of your transactions directly from Exchange & Depository on your mobile / E-mail at the end of the day.

3. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_  
 \*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** | d | d | / | m | m | / | y | y | y | y |

4. **Registered Address (If different from above)**  
 [Grid for address entry]  
 City / Town / Village [Grid] State [Grid] Country [Grid] Postal Code [Grid]

5. **Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.**  
 \*Latest Telephone Bill (only Land Line)  \*Latest Electricity Bill  \*Latest Bank Account Statement  Registered Lease / Sale Agreement of Office Premises  
 Any other proof of address document (as listed overleaf). (Please specify) \_\_\_\_\_  
 \*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** | d | d | / | m | m | / | y | y | y | y |

**C. Other Details (please see guidelines overleaf)**

1. **Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors**  
 (Please use Annexure on next page to fill in the details)

2. **Any other information :** \_\_\_\_\_

**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.

**NAME & SIGNATURE(S)  
OF AUTHORISED  
PERSON(S)**

[Signature box 1] (1)

[Signature box 2] (1)

Place: [Grid] Date: [Grid]

**FOR OFFICE USE ONLY**

Intermediary name OR code  
**CROWN BULLION AND COMMODITIES PVT LTD**  
 (Originals Verified) Self Certified Document copies received  
 (Attested) True copies of documents received

Seal/Stamp of the intermediary should contain  
 Staff Name  
 Designation  
 Name of the Organization  
 Signature  
 Date

**Details of Promoters/ Partners/ Karta / Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form**

Name of Applicant \_\_\_\_\_ PAN of the Applicant \_\_\_\_\_

Sr. No.	PAN	Name	DIN (For Directors) / UID (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph

(2) 

Name & Signature of the Authorised Signatory(ies)

Date    /    /    20





## TRADING ACCOUNT RELATED ADDITIONAL DETAILS

### BANK ACCOUNT DETAILS

(Through which transactions will generally be routed)

#### Primary Bank Details :

Bank Name :

Account No. :  Branch :

Address :

11 Digit RTGS / NEFT / IFS Code :  0  9 Digit MICR Code :

Account Type :  Savings  Current  OTHERS :  (Please Specify)

Pay-Out Option :  As Per Group  Cheque  Online Transfer / NEFT / RTGS

Bank/MICR/IFSC proof submitted :  Cancelled Cheque (with **Client Name** & A/c No. **pre-printed**)

Bank Passbook\* (If hand written, then with stamp of Bank)  Bank Verification Letter\* (with Rubber Stamp & Sign of Bank Manager)

Bank Statement\* (Either on Bank Stationary or with rubber stamp & sign of Bank Manager) \*Documents should not be more than 3 months old

#### Secondary Bank Details (if any) :

Bank Name :

Account No. :  Branch :

Address :

11 Digit RTGS / NEFT / IFS Code :  0  9 Digit MICR Code :

Account Type :  Savings  Current  OTHERS :  (Please Specify)

In case of multiple banks, please provide proof of all banks.

### DEPOSITORY ACCOUNT DETAILS

(Through which transactions will generally be routed)

Depository Name :  CDSL  NSDL DP ID :  BOID :

Name of Depository Participant :

Demat A/c Proof submitted :  Client Master  Transaction or Holding statement  
(with Client Name, PAN, DP & Client ID)

### FACILITIES

SMS and E-mail alerts :  SMS Alert  E-mail Alert  Both  None

Please mention Mobile & E-mail ID in KYC form (Page A1 - Individual / A3 - Non-Individual)

Whether you wish to receive communication from member in Electronic form on your E-mail ID :  Yes  No

Whether you wish to receive Standard documents\* :  Electronic  Physical

\*Standard Documents –Rights & Obligations, Risk Disclosure Document & Guidance Note

Please mention E-mail ID in KYC form (Page A1 - Individual / A3 - Non-Individual)

I/We wish to avail facility of internet trading / wireless technology :  Yes  No

### TRADING PREFERENCE

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Sr.	Name of Exchange	Date of Consent	Signature of Client
1.	Multi Commodity Exchange of India Ltd. (MCX) Future	D D M M Y Y Y Y	
2.	Multi Commodity Exchange of India Ltd (MCX) Options.	D D M M Y Y Y Y	

If you wish to trade in commodity derivatives, submit **ANY ONE** of the following income proof (Mandatory)

- |   |   |
|---|---|
| <input type="checkbox"/> Bank Statement/Passbook (For atleast 6 months period and last entry should not be older than 3 months)<br><input type="checkbox"/> Demat A/c Holding Statement (with Value & duly stamped by DP)<br><input type="checkbox"/> Latest ITR Acknowledgement<br><input type="checkbox"/> Latest Salary Slip/Copy of Form 16 | <input type="checkbox"/> Latest Net worth Certificate by CA/CS<br><input type="checkbox"/> Latest Annual Accounts<br><input type="checkbox"/> Any Other relevant documents substantiating ownership of assets |
|---|---|

**TRADING HISTORY****Trading Experience / Number of Years of Investment**

\_\_\_\_ Years in Commodities       \_\_\_\_ Years in other Investment related fields       No Prior Experience

**If you are dealing with any other member, please provide following detail**

Name of the member / AP

Exchange Registration Number

Member's Name where AP is Registered

Member's Registered office address

Client Code  Phone  E-mail

Exchange  MCX

Details of disputes / dues pending from / to such member / AP

(Please Specify)

In case dealing with multiple member / AP, please provide details of all.

**Past Actions**

Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / Commodity Exchange / any other authority against the applicant / constituent or its partners / promoters / whole time directors / authorised persons in charge of dealing in securities during last 3 years.

(Please Specify)

**INCOME, EDUCATION & OTHER DETAILS**

**Gross Annual Income Detail**  Below 1 Lac  1 - 5 Lac  5 - 10 Lac  Rs. 10 - 25 Lac  25 Lac - 1 Crore  > 1 Crore

**Net-worth in ₹.** (\*Net worth should not be older than 1 year) \_\_\_\_\_ **as on (date)** | D | D | M | M | 2 | 0 | Y | Y | **(Mandatory for Non-Individual Client)**

**Occupation**  Private Sector Service  Public Sector  Government Service  Business  Professional  Agriculturist  
 Retired  Housewife  Student  Forex Dealer  Other \_\_\_\_\_ (Please Specify)

**Educational Details :**  High School  Graduate  Post-Graduate  Doctorate  Professional Degree  
 Under High School  Illiterate  Other \_\_\_\_\_ (Please Specify)

**Please tick, if applicable**  Politically Exposed Person  Related to a Politically Exposed Person

In case of Non-Individual, provide held details as page A11

**Is the entity involved providing any of the following services**

- For Foreign Exchange / Money Changer Services  Yes  No

- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)  Yes  No

- Money Lending / Pawning  Yes  No

**In case of Non-Individual, provide details of persons authorised to deal in securities of behalf of the company / Firm/ others in Annexure A on page A 8.**

**Any other information :**

**GST REGISTRATION DETAILS (As applicable, state wise)**

GST Registration No. :

Name of the State :

- I do not wish to nominate.
- I wish to nominate the following person.

Name of Nominee : Mr. / Ms. / Mrs. : \_\_\_\_\_  
 PAN : \_\_\_\_\_ P \_\_\_\_\_ Date of Birth (Mandatory in case of minor) : \_\_\_\_\_  
 Relationship with Nominee : \_\_\_\_\_  
 Address of Nominee : \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_ State : \_\_\_\_\_  
 Ph. : \_\_\_\_\_ E-mail : \_\_\_\_\_

COLOURED  
PHOTOGRAPH  
OF  
NOMINEE  
SIGNED ACROSS

---

Signature of Nominee

If nominee is minor, details of guardian :  
 Name of Guardian : Mr. / Mrs. : \_\_\_\_\_  
 Address of Guardian : \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_ State : \_\_\_\_\_  
 Country : \_\_\_\_\_ Phone (with STD Code) : \_\_\_\_\_ - \_\_\_\_\_  
 Mobile : \_\_\_\_\_ E-mail : \_\_\_\_\_  
 Relationship of Guardian with Nominee : \_\_\_\_\_

COLOURED  
PHOTOGRAPH  
OF  
GUARDIAN  
SIGNED ACROSS

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Signature of Guardian

This Nomination shall supersede any prior Nomination made by me / us and also any testamentary document executed by me / us.

**WITNESS**

**(Both Witnesses Mandatory in case of Nomination)**

FIRST WITNESS OF CLIENT		SECOND WITNESS OF CLIENT	
Name		Name	
Address		Address	
Sign of Witness	Signature of First witness	Sign of Witness	Signature of Second witness

**DISCLOSURE**

Dear Client,  
 This is to inform you that we do client based trading and Pro-account trading in the Exchanges we are registered as member.

For **CROWN BULLION AND COMMODITIES PVT LTD**  
Authorised Signatory

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary / non-voluntary 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 & 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.
4. I/We declare that Crown Bullion and Commodities Pvt Ltd, the Member, has put me/us on notice that it is engaged in not only client based trading but also in pro-account trading.

**CLIENT SIGNATURE**

Sign of Client \_\_\_\_\_ (4)

Date : \_\_\_\_\_ Place : \_\_\_\_\_

**DETAIL OF INTRODUCER AND AP**

- Authorised Person Registration No. \_\_\_\_\_
- Remisier / BDR Code : \_\_\_\_\_
- RM Emp. Code : \_\_\_\_\_
- Existing Client UCC : \_\_\_\_\_
- Others \_\_\_\_\_ (Please Specify)

Name : \_\_\_\_\_ PAN : \_\_\_\_\_  
 Address : \_\_\_\_\_  
 Pin : \_\_\_\_\_ State : \_\_\_\_\_  
 Phone / Fax : \_\_\_\_\_  
 E-mail / Website : \_\_\_\_\_

Signature of the Introducer

**DETAILS OF POLITICALLY EXPOSED PERSONS (PEP)/ RELATED TO POLITICALLY EXPOSED PERSON (RPEP)**

**For-Non-individual**

S.No.	Name of the Authorized signatories /Promoters /Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
1.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
2.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
3.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
4.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>
5.			PEP <input type="checkbox"/> RPEP <input type="checkbox"/>

Signature of authorised signatory

(5)

PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

**Annexure A**

**PERSONS AUTHORIZED TO DEAL**

**For Corporate, Partnership Firm Etc.**

1. Name : Mr. / Ms. / Mrs. : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 PAN : \_\_\_\_\_ P \_\_\_\_\_ UID : \_\_\_\_\_  
 Residential Address : \_\_\_\_\_  
 \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_  
 Ph. : \_\_\_\_\_ Mobile : \_\_\_\_\_  
 E-mail : \_\_\_\_\_

LATEST PHOTOGRAPH

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Signature with Stamp

2. Name : Mr. / Ms. / Mrs. : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 PAN : \_\_\_\_\_ P \_\_\_\_\_ UID : \_\_\_\_\_  
 Residential Address : \_\_\_\_\_  
 \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_  
 Ph. : \_\_\_\_\_ Mobile : \_\_\_\_\_  
 E-mail : \_\_\_\_\_

LATEST PHOTOGRAPH

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Signature with Stamp

3. Name : Mr. / Ms. / Mrs. : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 PAN : \_\_\_\_\_ P \_\_\_\_\_ UID : \_\_\_\_\_  
 Residential Address : \_\_\_\_\_  
 \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_  
 Ph. : \_\_\_\_\_ Mobile : \_\_\_\_\_  
 E-mail : \_\_\_\_\_

LATEST PHOTOGRAPH

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Signature with Stamp

4. Name : Mr. / Ms. / Mrs. : \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 PAN : \_\_\_\_\_ P \_\_\_\_\_ UID : \_\_\_\_\_  
 Residential Address : \_\_\_\_\_  
 \_\_\_\_\_  
 City : \_\_\_\_\_ Pin : \_\_\_\_\_  
 Ph. : \_\_\_\_\_ Mobile : \_\_\_\_\_  
 E-mail : \_\_\_\_\_

LATEST PHOTOGRAPH

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Signature with Stamp

### ACKNOWLEDGEMENT (for office record)

I/We hereby acknowledge to have received from Crown Bullion and Commodities Pvt Ltd, (the Member) copy of an account opening book, for my/our record, containing–

1. Risk Disclosure Document.
2. Rights and Obligations of Members, Authorized Persons and Clients as prescribed by SEBI and Commodity Exchanges including Terms and Conditions as to Internet & Wireless Technology Based Trading Facility Provided by Member to the Client.
3. Guidance Note - Do's and Don'ts for the clients.

I/We have fully understood each one of the above and filled the forms as per instructions contained therein. All of my/our queries have been satisfactorily clarified. I/We will be provided photo/scan copies of account opening documents signed by me/us after scrutiny and acceptance by the Member's office.

(6)   
Signature of Client

### BROKERAGE STRUCTURE

Particular	%	Minimum
Square off (each side)		
Delivery		
Options (1st Side)		
Options (1st Side)		

#### NOTE :

1. Commodity Transaction Tax (CTT), GST, Stamp Duty & Other Statutory Charges will be levied separately as applicable from time to time as displayed on company's website <http://www.crownsec.com>
2. The Company reserves the right to review brokerage, transaction charges and other charges time to time within limits set by regulatory body, with sufficient prior notice.

# DOCKET – B



**REGISTERED & CORRESPONDENCE OFFICE ADDRESS :  
CROWN BULLION AND COMMODITIES PVT LTD**

G-6 / G-7, Amit Indl Premises, 61, Dr S.S.Rao Road,  
Near Gandhi Hospital, Next To Citi Tower, Parel (East) - 400012  
Tel : 91-022-40690701 | Dir : 022-40690725  
Fax : 91-022-40690777 | M 91-9619496870.  
Email : [compliance@crownsec.com](mailto:compliance@crownsec.com) and [commodities@crownsec.com](mailto:commodities@crownsec.com)  
[www.crownsec.com](http://www.crownsec.com)

**Compliance Officer Details :**

Name : Mr. Jagannath Uday Nath Muni  
E-mail : [comsec@crownsec.com](mailto:comsec@crownsec.com)

**CEO Details :**

Name : Mr. Pramod Chandaliya  
Phone No. : +91- 9322500703  
E-mail : [pramod.chandaliya@crownsec.com](mailto:pramod.chandaliya@crownsec.com)

For any grievance/dispute please contact Crown Bullion and Commodities Pvt Ltd at the above address or email id- [compliance@crownsec.com](mailto:compliance@crownsec.com) and Phone no. +91-22-40690701. In case not satisfied with the response, please contact the concerned exchange(s) at the details given below :

Exchange	Registration No.	Email ID & Phone
Multi Commodity Exchange of India Ltd. (MCX)	Membership No. 35995 SEBI Reg. No. INZ000014131	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a> +91-22-67318888/ 66494000

## INDEX

1.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	2 – 3
2.	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).	4 – 9
3.	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchanges for education of the investors.	10

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 /trading. This brief statement does not disclose all of the risks and other significant aspects of trading. You should, therefore, study derivatives trading carefully before becoming involved in it.

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

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

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

**It must be clearly understood by you that your dealings on the Exchange through a member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form and are subject to Rules, Byelaws and Business Rules of the Exchange guidelines prescribed by SEBI 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:-**

**2.1 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 registration certificate from SEBI.



**( KYC Document )**  
**RIGHTS AND OBLIGATIONS OF MEMBERS, AUTHORIZED PERSONS AND CLIENTS**  
*as prescribed by SEBI 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/SEBI 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 SEBI 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. Requirements of professional diligence
  - a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
  - b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with-
    - i. honest market practice;
    - ii. the principle of good faith;
    - iii. level of knowledge, experience and expertise of the Client;
    - iv. the nature and degree of risk embodied in the financial product\* or financial service being availed by the Client; and
    - v. the extent of dependence of the Client on the Member.

**\*Commodity derivative contract**

7. The Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

**CLIENT INFORMATION**

8. 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/SEBI from time to time.
9. 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.
10. 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.
11. A. Protection from unfair terms in financial contracts\*\*
  - a. An unfair term of a non-negotiated contract will be void.
  - b. A term is unfair if it –
    - i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
    - ii. is not reasonably necessary to protect the legitimate interests of the Member.
  - c. The factors to be taken into account while determining whether a term is unfair, include –
    - i. the nature of the financial product or financial service dealt with under the financial contract;
    - ii. the extent of transparency of the term;
  - iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
  - iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
  - d. A term is transparent if it –
    - i. is expressed in reasonably plain language that is likely to be understood by the Client;
    - ii. is legible and presented clearly; and
    - iii. is readily available to the Client affected by the term.
  - e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

**11.B.**

- a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes –
  - i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and
  - ii. a standard form contract.
- b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C.
- c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by –
  - i. an overall and substantial assessment of the financial contract; and
  - ii. the substantial circumstances surrounding the financial contract
- d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

11. C.
- a. The above does not apply to a term of a financial contract if it –
    - i. defines the subject matter of the financial contract;
    - ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or
    - iii. is required, or expressly permitted, under any law or regulations.
  - b. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non- occurrence of any particular event.
12. 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.
- 13A. Protection of personal information and confidentiality
- a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes –
    - i. name and contact information;
    - ii. biometric information, in case of individuals
    - iii. information relating to transactions in, or holdings of, financial products
    - iv. information relating to the use of financial services; or
    - v. such other information as may be specified.
- 13 B.
- a. A Member must –
    - i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;
    - ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13.B.b.;
    - iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;
    - iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and
    - v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.
  - b. A Member may disclose personal information relating to a Client to a third party only if –
    - i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;
    - ii. the Client has directed the disclosure to be made;
    - iii. the Regulator has approved or ordered the disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
    - iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;
    - v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member –
      1. informs the Client in advance that the personal information may be shared with a third party; and
      2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or
    - vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part.-
  - c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.
- 14A. Requirement of fair disclosure both initially and on continuing basis
- a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.
  - b. In order to constitute fair disclosure, the information must be provided –
    - i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;
    - ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and
    - iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.
  - c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding –
    - i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;
    - ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
    - iii. existence, exclusion or effect of any term in the financial product or financial contract;
    - iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;
    - v. contact details of the Member and the methods of communication to be used between the Member and the Client;
    - vi. rights of the Client to rescind a financial contract within a specified period; or
    - vii. rights of the Client under any law or regulations.
- 14 B.
- a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures –
    - i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;
    - ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and

- iii. any other information that may be specified.
- b. A continuing disclosure must be made –
  - i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and
  - ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

#### **MARGINS**

- 15. 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 SEBI 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 SEBI) and the client shall be obliged to pay such margins within the stipulated time.
- 16. 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**

- 17. 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.
- 18. 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.
- 19. 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 SEBI and/or Rules, Business Rules, Bye-laws, circulars and notices of Exchange.
- 20. 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).
- 21. 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**

- 22. 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 SEBI.

#### **LIQUIDATION AND CLOSE OUT OF POSITION**

- 23. 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.
- 24. 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**

- 25. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it.
- 26. 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.
- 27. 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.
- 28. Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients
  - a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.
  - b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of –
    - i. the Client's right to seek redress for any complaints; and
    - ii. the processes followed by the Member to receive and redress complaints from its Clients.
- 29.A. Suitability of advice for the Client Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Clients financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.
  - a. A Member must –
    - i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and
    - ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.
  - b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.
  - c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member –
    - i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and
    - ii. may provide the financial product or financial service requested by the Client only after complying with point 29.A.a and obtaining a written

acknowledgement from the Client.

### 30. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

- a. A member must –
  - i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and
  - ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between –
    1. its own interests and the interests of the Client; or
    2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.
- b. The information under point 16a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.
- c. In this section, “conflicted remuneration” means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

### TERMINATION OF RELATIONSHIP

31. 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.
32. 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.
33. 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

34. 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 SEBI and the relevant Exchanges where the trade is executed.
35. 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.
36. 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.
37. 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 within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
38. The Member shall send margin statements to the clients on daily 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.
39. 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.
40. 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.
- 41.A. Protection from unfair conduct which includes misleading conduct & abusive conduct
  - a. Unfair conduct in relation to financial products or financial services is prohibited.
  - b. “Unfair conduct” means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes –
    - i. misleading conduct under point 41.B
    - ii. abusive conduct under point 41.C
    - iii. such other conduct as may be specified.
- 41.B.
  - a. Conduct of a Member or its financial representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves –
    - i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
    - ii. providing accurate information to the Client in a manner that is deceptive.
  - b. In determining whether a conduct is misleading under point 41.B.a, the following factors must be considered to be “determinative factors” –
    - i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
    - ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
    - iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;

- iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
- v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
- vi. the rights of the Client under any law or regulations.

- 41 C.
- a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it –
    - i. involves the use of coercion or undue influence; and
    - ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.
  - b. In determining whether a conduct uses coercion or undue influence, the following must be considered –
    - i. the timing, location, nature or persistence of the conduct;
    - ii. the use of threatening or abusive language or behavior;
    - iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
    - iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including –
      - v. the right to terminate the financial contract;
      - vi. the right to switch to another financial product or another Member and
      - vii. a threat to take any action, depending on the circumstances in which the threat is made.

#### **ELECTRONIC CONTRACT NOTES (ECN)**

- 42. 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 3). 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.
- 43. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
- 44. 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.
- 45. 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 SEBI/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 SEBI/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 SEBI/Commodity exchanges.
- 46. 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 SEBI/commodity exchanges and maintain the proof of dispatch and delivery of such physical contract notes.
- 47. 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.
- 48. The Electronic Contract Note (ECN) declaration form obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

#### **LAW AND JURISDICTION**

- 49. 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 SEBI.
- 50. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI 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.
- 51. 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.
- 52. 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/SEBI.
- 53. All additional voluntary/non-mandatory clauses/document added by the Member should not be in contravention with Rules/ Business Rules/Notices/Circulars of Exchanges/SEBI. 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/SEBI shall also be brought to the notice of the clients.
- 54. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI 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.
- 55. Members are required to send account statement to their clients every month.

**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 SEBI& 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 SEBI/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/SEBI.
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/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member
6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The Member shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Member shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

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

## Dealing in Commodity Futures

Annexure-4

### DO'S

1. Trade only through Registered Members of the Exchange. Check from the Exchange website at following link <https://www.mcxindia.com/membership/notice-board/Member-AP> -Details 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 <https://www.mcxindia.com/en/login>. 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 SEBI/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 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 SEBI.

### 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.

The underlying document outlines various policies and procedures Crown Bullion and Commodities (P) Ltd. (CBCPL) has framed with respect to its dealing with clients for commodity market transactions to ensure transparency and facilitate understanding on various aspects related to service delivery. Kindly note that the below stated policies and procedures are subject to change from time to time, depending upon our internal risk management framework, market and external environment; and clients can refer the CBCPL website for the updated documents and same will also be intimated to the clients through writing/email.

### 1. Setting up Client's Exposure limit:

#### A) Settlement/ Margin obligation:

The Exchange bye-laws requires a member broker to adhere to various trading and settlement obligations and conditions which include but are not limited to -

- a) Upfront margin maintenance requirements with the Exchange / Clearing Corporation prior to taking an exposure in the market,
- b) Cash and collaterals / securities deposit, in prescribed ratio, for margin maintenance,
- c) Certain margins to be paid for in cash only, for instance mark-to-market,
- d) Settlement obligations in respect of funds and/or securities to be honoured as per the settlement calendar prescribed by the exchange from time to time.

In order to enable CBCPL to meet the obligation on behalf of the client, CBCPL seeks client's cooperation to maintain adequate margin, make timely settlement of obligations, top-up margin by scheduled date, etc.

#### B) Exposure settings:

- a) Margin based limit / exposures will be set for clients for transacting in commodities segment. While computing the available margin, clear credit lying in client's settlement and margin ledger, securities held in client's beneficiary account with Member and securities held in client's beneficiary demat account held in the name of CBCPL for which may be considered.
- b) Margin can be paid in form of cash and approved collateral. Collateral will be valued on daily basis at previous day's closing price and appropriate haircut shall be applicable. List of approved collaterals / securities along with applicable haircut, is subject to revision from time to time based on Exchange approved list, market volatility, quality of collateral and internal guidelines; and same can be obtained from the Relationship Manager / Dealing Branch Office.
- c) CBCPL shall have the discretion to allow differential limits / exposures varying from client to client, depending upon client's trade history / experience, if available, his financial capacity and/or creditworthiness and referral of each client.

### 2. Brokerage Policy:

CBCPL may charge a brokerage for all trades facilitated on MCX of which CBCPL is a Member. Brokerage rate may vary from client to client, as per the terms agreed with the client at the time of registration by way of any subsequent written understanding / document between the client and CBCPL. The rate of Brokerage shall not exceed the maximum permissible brokerage stipulated by Exchange / SEBI.

The slab rates of brokerage fixed by CBCPL may be function of the quality and cost of services provided to the client and the volume and revenue expected from a relationship. It shall be reviewed by CBCPL from time to time and may be changed in such manner as CBCPL may deem fit provided that the same would not contradict the regulatory provisions.

The brokerage shall however be exclusive of the following.

- GST (Goods & Service Tax)
- SEBI / Exchange / Clearing member charges
- Stamp Duty
- Statutory charges payable to Exchange / SEBI / Govt. Authorities etc.,
- DP transaction charges / Pledge / Unpledge / Demat / Remat charges
- Account Opening charges
- Bank charges towards the cheques received unpaid.
- Charges towards customized / specialized service with mutual consent.
- Other charges / Fees as may be deemed fit by CBCPL, after duly notifying the client which is not in contravention to Acts, Rules regulations Bye-laws of Exchange / SEBI prevailing at present and change from time to time.

### 3. Imposition of Penalty / delayed payment charges:

#### A) Delayed payment charges / margin shortage charges:

As per the Exposure Limit section outlined earlier in the document, client shall maintain adequate margin / settle the obligation / top-up the margin by scheduled date. In case client fails to settle the dues in time, CBCPL shall reserve the right to -

- a) Levy delayed payment charges, not exceeding 1.5% per month, on account of delays / failure by the client in meeting the pay-in / margin obligations / mark-to-market obligation on the scheduled date till the date of payment in commodity segment,
- b) Not consider any credit balance in other family or group account of the client while computing delayed payment charges on the debit balance in the running account of a client.
- c) The above levy is only a penal measure in case of client default in meeting settlement and margin obligation and should not be construed as funding arrangement by the client; and the client cannot demand continuation of service on a permanent basis citing levy of delayed payment charges.



## **B) Penalties levied by Exchanges:**

Exchanges / Clearing Corporation / SEBI levy penalties on the member broker for irregularities observed by them during course of its dealing with Members. CBCPL shall recover such imposed penalties / levies, by the Exchange / regulators, from the client which arises on account of dealing by such client. The illustrative list of reasons to levy penalty include but are not limited to -

- a) Non adherence to client-wise exposure limits,
- b) Client-wise shortfall in margin,
- c) Any other reasons which may be specified by the Exchange / Clearing Corporation / SEBI from time to time.

## **C) Interest Free Deposits:**

CBCPL provides exposure against the upfront margin received in the form of cash/collateral from the client and the client also has the prerogative to demand withdrawal of cash or collaterals at his discretion, subject to surplus margin in place. CBCPL shall not pay any interest or other benefit to the client for maintaining cash balances or depositing collateral margins with CBCPL except for the corporate benefit received on such collateral securities, if any.

- D) The Client shall pay CBCPL fees, account opening/maintenance charges, charges for availing special facility for mobile broking / SMS facility or any other charges for special services/facilities availed by the Client including but not limited to charges related to opening / maintaining and/or carrying out demat related activities through a demat account maintained with CBCPL etc. as applicable from time to time. In case of non receipt of any amount due delayed payment will be charged at 1.5% calculated on daily basis on shortfall amount till the date of actual realisation of money.
- E) All fines/ penalties and charge levied upon the Client due to its acts / deeds or transactions will be recovered by CBCPL directly from the Client's account.
- F) The client hereby authorised CBCPL to directly debit the delayed payment charges to his account, at the end of month / such other interval as may be decided by CBCPL. The Client also agrees that any amount overdue from him/her (including the interest on delayed payment) shall be offset against the dues owed by CBCPL to the Client.

## **4. The right to sell Client's securities or close Clients' positions, without giving notice to the Client, on account of non payment of dues:**

The commodity broker maintains centralised banking and securities handling processes and related banking and depository accounts at designated place. The Client shall ensure timely availability of funds / securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The commodity broker shall not be responsible for any claim/loss/damage arising out of non availability / short availability of funds / securities by the client in the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialise in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or commodity broker level / non release of margin by the commodity broker etc., The losses which may occur to the client as consequence of such shortages in any manner such as on account of auctions / square off / closing outs etc., shall be solely to the account of the client and the client agrees not to hold the commodity broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin / security is made by the client through a bank instrument, the commodity broker shall be at liberty to give the benefit / credit for the same only on the realisation of the funds from the said bank instrument etc. at the absolute discretion of the commodity broker.

Where the margin / security is made available by way of securities or as permitted by exchange from time to time, the commodity broker is empowered to decline its acceptance as margin / security / or to accept it at such reduced value as the commodity broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the commodity broker may deem fit in its absolute discretion.

The commodity broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares 15 minutes before the market closure or when Mark to Market (M-T-M) percentage reaches or crosses, 90% of the Margin available with the broker whichever is earlier. The commodity broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (i.e. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfil 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 charge levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The Commodity broker is entitled to prescribe the date and time by which the margin / security is to be made available and the commodity broker may refuse to accept any payments in any form after such deadline to margin / security expires.

Notwithstanding anything to the contrary in the Understanding/Document or elsewhere, if the client fails to maintain or provide the required margin / fund / security or to meet the funds / margins / securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the commodity broker shall have the right without any further notice or communication to the client to take any one or more of the following step

- a) To withhold any payout of funds / securities.
- b) To withhold / disable the trading / dealing facility to the Client.
- c) To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the commodity broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery / receipt.
- d) 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 such rate which the commodity broker may decide in its absolute discretion.
- e) To take any other steps which in the given circumstances, the commodity broker may deem fit. The client agrees that the loss(s) if any, on account of any one or more steps as enumerated herein above being taken by the commodity broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the commodity broker.

The Client should be aware that it's the first and foremost duty of the client to pay margin and funds or securities obligation to CBCPL before pay-in-date. The client cannot take shelter that CBCPL will liquidate his/her/its stock in margins if the client fails to pay margin and funds or securities obligation to CBCPL. So far as possible, CBCPL may communicate to client before or after selling of securities or closing the open position, but it is the primary duty of communicate to client before or after selling of securities or closing the open position, but it is the primary duty of the client to know his fund or margin or security obligation and to pay the

same before pay-in date. The client has to know dues payable to CBCPL from time to time arising out of his/her/its transactions in secondary market. The client understands that he/she/it has to get himself/herself/itself updated about the rules/regulation/bye-laws of the exchange and from various communications made by CBCPL/Stock Exchanges/SEBI/Other Regulatory Authorities. The loss, if any, on account of liquidation, shall be debited to the account of the client.

**5. Shortages in Obligation arising out of internal netting of trades:**

The client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay-in-obligation which resulted into internal shortage, i.e. buy position of another client of CBCPL, self Auction of Internal Short Scrip will be carried out by CBCPL.

Internal Shortage in MCX: In case for any other reason whatsoever, if CBCPL is unable to buy such quantity in MCX as the case the outstanding security pay-in obligation of the seller client shall be closed out at the rate of closing rate of T + 3 or on the next settlement day plus penalty.

Shortage from Exchange: In case of short delivery from the exchange, the securities shall be delivered to the purchaser after the deliveries received from the exchange.

**6. Conditions under which a Client may not be allowed to take further positions or the Member may close the existing positions of a Client:**

Under various circumstances outlined in the Liquidation Policy section of the document, the Client may not be permitted to take any fresh or further position until the full clearance of earlier dues, obligation, outstanding etc. Further, it would be the duty of the client to monitor its position with CBCPL from time to time. In case of any delay or failure by the client in meeting any obligation, margin requirements etc. CBCPL, at its discretion, may close the open position / contracts without any further intimation to the client in this regard as per the Risk policy.

Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or even no liquidation may take place 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 stock has hit circuit filters or for any other reason as prescribed or instructed by SEBI.

CBCPL is entitled to disable freeze the account or trading facility / any other service if, in the opinion of CBCPL, the client has committed a crime, fraud or has acted in contradiction or violate / evade any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if CBCPL so apprehends. Any profit / loss arising out of these transactions shall be at the risk of and borne by the client.

**7. Temporarily suspending or closing a Client's account at the Client's request:**

- A) The client is required to submit written request for closure of account or for temporary suspension of account clearly stating period or suspension, to the registered office of the Member. Upon receipt of request and after satisfying itself with respect to all information/documentation and settlement of client dues, the Member shall act upon the request within reasonable time but not later than 30 days from the date of request.
- B) CBCPL can withhold the payouts of client and suspend client's trading account due to surveillance action of CBCPL or judicial or / and regulatory order / action requiring client suspension. CBCPL shall maintain such suspension / disablement till such time the client makes a specific request and complies with required formalities in that regard.

**8. Policy for inactive clients:**

- A) Any client who has not traded in any segment of any exchanges with Crown for last one year may be termed as dormant / inactive client.
- B) The one year may be calculated from beginning of every financial year or such other period as may be decided by Crown.
- C) The trading account of such client will be tagged / red-marked as dormant/inactive client and trading in such code may be deactivated or suspended temporarily.
- D) Once the client account is deactivated the client's funds & securities lying with CBCPL will be returned to the client.
- E) Client may send written request to reactive Trading account with all the requisite information / evidence as may be specified by Crown.

**9. Deregistering the Client**

The Parties to the Understanding/Document shall be entitled to terminate the understanding/document or any part thereof without giving any reasons to the other Party, after reasons to the other Party, after giving notice in writing of not less than one month to other Party. For that purpose, the client will be liable First to settle his/her/its account in full. In case of any shortfall or any dues or payment remaining after adjusting the margin account, the client will be liable to make payment of the same. In case of surplus arising after getting off of the account, client shall be entitled to receipt of the same.

In the following circumstances, including but not limited to the following, CBCPL may at its discretion shall be entitled to suspend or terminate the Understanding / Document without prior notice:

- A) Upon the death, winding up, bankruptcy, liquidation or legal incapacitation of the Client or is Designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator /Authority including SEBI.
- B) The client fails to maintain the Bank Account and/or the Demat Account (or any replacement thereof).
- C) The Client has misrepresented facts at the time of entering into this understanding/document or at the time of giving instructions or otherwise.
- D) The Client fails to fulfil his/its payment obligations under this understanding/document or otherwise due to CBCPL.
- E) The Client has violated the Applicable law, more particularly the Securities Law and Bylaws, Rules and Regulations of the respective Stock Exchanges on which the Client trades.
- F) If the client migrates to a jurisdiction which prohibits trading in Indian securities or otherwise subjects CBCPL or any of its employees to any licensing or registration requirements. Upon termination of the understanding/document all other understanding / document, annexure and writings supplementing the understanding / document entered into by a between the Parties here in shall stand terminated.

Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into and prior to the termination of the shall continue to subsist and vest in/be binding on the respective Parties or his/her/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

Notwithstanding anything to the contrary stated in the understanding/document, the commodity broker shall be entitled to terminate the understanding/document, with immediate effect in any of the following circumstances.

- G) If there is any commencement of legal process against the Client under any law in force.
- H) If the Client being a partnership firm, has any steps taken by the Client and / or its partners for dissolution of the partnership.
- I) If the Client has taken or suffered to be taken any action for its reorganisation, liquidation or dissolution.
- J) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the security.
- K) 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.
- L) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other understanding/document with the Commodity broker.
- M) If the Client is in breach of any term, condition or covenant of this understanding / document.
- N) If any covenant or warranty of Client is incorrect or untrue in any material respect.
- O) Action taken by Exchanges / Regulators or being part of list of debarred entities published by SEBI.
- P) Where the client indulge in any irregular activities not limited to synchronized trading, price manipulation, etc. resulting in violation of rules, regulations of the exchange and any other such activity.
- Q) Based on information found in sites of CIBIL, Watch out investors, World check or client having suspicious back ground, link with suspicious organization etc.
- R) Irregular trading pattern from surveillance/AML perspective.
  - S) Where the client is categorized as ineligible due to being non-traceable, disputes, possible default by client and any other circumstances leading to raising non-confidence in client.

**10. Client Acceptance of Policies and Procedures stated hereinabove :**

I / We have fully understood the same and do hereby sign the same. These Policies and Procedures may be amended/changed unilaterally by broker. Provided the changes made in policies & procedures have to be communicated by the TM in writing/E-mail or on the website of CBCPL. These Policies and Procedures shall always be read along with the understanding/document and shall compulsorily referred to while deciding any dispute / difference or claim between me / us and commodity broker before any court of law/judicial/adjudicating authority including arbitrator/mediator etc.

**CONSENT FORM FOR RECEIVING TRADE ALERT THROUGH SMS AND / OR E-MAIL  
(FOR MCX CLIENTS)**

I/We, \_\_\_\_\_, a client with Crown Bullion and Commodities Pvt Ltd (Member ID 35995) of MCX undertake as follows:

1. I/We are aware that Multi Commodity Exchange (MCX) provides details of 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 member 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 trade alerts through:
  - a. SMS
  - b. E-mail
  - c. SMS and E-mail
4. The alerts should be sent on :
  - a. Mobile Number (enter 10 digits Mobile No) :
  - b. Email ID : \_\_\_\_\_

I/We agree to the terms and condition specified by the Exchange vide circular No. MCX/INSP/325/2016 dated Sep 29 2016 and circulars/ clarifications issued by Exchange from time to time in this regard. I/We are/am also aware that this is an additional facility provided by the exchange and I/we shall not solely rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Signature of Client (10)

**DECLARATION BY KARTA & ALL CO-PARCENERS (Compulsory in case of HUF Account)**

1. Whereas the Hindu Undivided Family of \_\_\_\_\_ is carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_ Or we intent to deal have or desire to have Commodities Trading Account with Crown Bullion and Commodities Pvt Ltd (hereinafter referred as 'Member'). We undersigned, hereby confirm and declare that we are the present adult co-parceners of the said joint family; that Mr. /Mrs. \_\_\_\_\_ is the present Karta of the said joint family.
2. We confirm that affairs of HUF firm are carried on mainly by the Karta Mr. / Mrs. \_\_\_\_\_ on behalf and in the interest and for the benefit of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said Trading Member is hereby authorized to honor all instructions oral or written, given by him on behalf of the HUF. He authorized to sell, purchase, transfer, endorse, negotiate documents and/ or otherwise deal through the member on behalf of the HUF. He is also authorized to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parcener of the said joint family, including the share of the minor co-parceners, if any.
3. We undertake to advise the member in writing of any change that may occur in the Kartaship or in the constitution of the said joint family or of said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however, continue to be liable jointly and severally to the member for all dues obligations of the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
4. The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF firm.

**List of Family Members**

S.No.	Name of the Member	Relationship with Karta	Date of Birth	Gender	Status	Marital Status	Signature
1				M / F	Resident / NRI / Foreign National	Married / Unmarried	
2				M / F	Resident / NRI / Foreign National	Married / Unmarried	
3				M / F	Resident / NRI / Foreign National	Married / Unmarried	
4				M / F	Resident / NRI / Foreign National	Married / Unmarried	
5	Name of Minor			M / F	Resident / NRI / Foreign National		
6	Name of Minor			M / F	Resident / NRI / Foreign National		

**Note :** In case of adult family member provide copy of PAN card or any other photo ID proof (DL/Voter ID/Passport). In case of Minor family member provide copy of age certificate (Birth Certificate/School leaving certificate).

Name of Karta :

Signature of Karta with Rubber stamp (11)

## ADDITIONAL RIGHTS & OBLIGATIONS (VOLUNTARY)

1. The Member may set off outstanding in any of the Client's accounts against credits available or arising in any other accounts maintained with the Member irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange and/or against the value of cash margin or collateral shares provided to the Member by the Client.
2. Unless otherwise instructed the Member may retain Commodities in its Demat account for Client's margin/future obligations at the Exchanges.
3. Where the Client has relationship with the Member on more than one Commodity Exchange the Member will treat the relationship in all the commodity exchanges as co-extensive and may make transfer, make adjustments and/or set off a part or whole of the securities / Commodities placed as margin and/or any surplus funds in any of the account of the Client for any of the commodities exchanges against the outstanding dues payable, if any, by the Client in any of his account(s) maintained with Member. The Member shall have right of lien on the credit balance in any of account of the Client for dues against any other account of the Client. Any entries passed by the Member in accordance with this provision shall be binding on the Client.
4. Unless otherwise instructed in writing the Member may consider Client's telephonic instructions for order placing/order modification/order cancellation as a written instruction and give to the Client all the confirmation on telephone.
5. Trading of Commodities is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. The Client understands that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/ network, which may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. The Client shall bear all consequences of such problems/ glitch and and shall not hold the Member responsible for it.
6. The Client agrees that if he fails to meet his funds pay-in obligation in respect of any one or more contracts purchased by him before the scheduled pay-in date, the Member shall be at liberty to square off any open position in the Client's account in proportion to the amount not received, after taking into account any amount lying to his credit, at any time after the scheduled Pay-in time on the Exchange. The Client agrees that the loss, if any, on account of the said squaring off shall be to the account of the Client. The Client acknowledges that the Member will make available the delivery against the Client's purchases only if there are no dues against the Client.

Any change in any of the above voluntary/non-mandatory clauses will have to be preceded by a notice of 15 days.

Signature of Client

(12) 

## LETTER OF AUTHORITY (VOLUNTARY)

I am / We are dealing in commodities with you and in order to facilitate ease of operations, I / we authorize you as under:

1. **Authorization for payment of Depository Participant Charges:** I am having depository account with Crown Consultants Pvt Ltd. I request you to debit my trading Account against the demand raised by the depository division of Crown Consultants Pvt Ltd. towards my Depository Charges. I also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reason.
2. **Authorization to retain Credit Balance:** I / We request you to retain credit balance in any of my / our account and to use the idle funds towards our margin/future obligations at the Exchanges unless I / we instruct you otherwise.
3. **Running account authorization:** We further confirm that the running account must be settled once in a Quarter  or once in a Month  the settlement preferences mentioned above can be revoked at any point of time.
4. **Authorization for not Providing Confirmation Slips:** I / We authorize you not to provide me / us Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We shall get the required details from contract notes issued by you.
5. **Authorization for verification of information from independent agency(ies):** I/We, do hereby certify that the information provided by me/us in this account opening form is true and correct in all respects and Crown Bullion and Commodities Pvt Ltd. (CBCPL) is entitled to verify this directly or through any third party agent. I/We further acknowledge the CBCPL right to seek any information from any other source in this regard. I/We do understand that all the information will form the basis of any facility that CBCPL may decide to grant me/us at its sole discretion. I/We consent and authorize CBCPL to share or generate subsequently any report through CIBIL or authorized agency/bureau.

I/We can revoke any or all of the above authorizations at any time in writing.

Signature of Client

(13) 

# FATCA, CRS DECLARATION FOR INDIVIDUALS ACCOUNTS

**Note** - The information in this section is being collected in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962.  
For more information refer: <http://www.incometaxindia.gov.in/dtaa> & <http://www.oecd.org>

**Section I**

**Part A** (All fields are mandatory)

Particulars	Details of Account Holder
Client Code / Demat A/c Number / PAN	
Name of Account Holder	
Type of Address given at KYC KRA (Please Tick)	(a) Residential <input type="checkbox"/> (b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>
Country of Citizenship*	<input style="width: 100%;" type="text"/>
Country of Birth*	<input style="width: 100%;" type="text"/>
Place within the country of Birth	<input style="width: 100%;" type="text"/>
Country of Tax Residence*	<input style="width: 100%;" type="text"/>
POA granted to a person outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> (if yes, please give detail in Section II)
Address or telephone number outside India	Yes <input type="checkbox"/> No <input type="checkbox"/> (if yes, please give detail in Section II)

\* If your answer is other than 'INDIA', please fill Section II of the form, else go to declaration & acknowledgment

**Section II - Other information (Please fill in BLOCK LETTERS)**

Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification No	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation below:

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**Declaration & Acknowledgement**

I have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA & CRS Instruction) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform CROWN for any modification to this information promptly, i.e., within 30 days. I further agree to abide by the provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI).

<b>Customer Signature</b>	<b>Date</b>
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**Terms and Conditions**

The CBDT has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which require Indian Financial Institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose for ensuring appropriate withholding from the folio (s) or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attached with this form.

In case investor has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, investor to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<ol style="list-style-type: none"> <li>1. Self -certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</li> <li>2. Non-US passport or any non-US government issued document <b>evidencing nationality or citizenship</b> (refer list below); <b>AND</b></li> <li>3. <b>Any one</b> of the following documents:               <ol style="list-style-type: none"> <li>a. Certified Copy of "Certificate of Loss of Nationality or</li> <li>b. Reasonable explanation of why the customer does not have such a certificate despite</li> </ol> </li> </ol>
Residence/ mailing address in a country other than India	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Telephone number in a country other than India	<p><b><i>If no Indian telephone number is provided</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b></li> <li>2. Documentary evidence (refer list below)</li> </ol> <p><b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b></p> <ol style="list-style-type: none"> <li>1. Self-certification (in attached format) that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b></li> <li>2. Documentary evidence (refer list below)</li> </ol>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<ol style="list-style-type: none"> <li>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</li> <li>2. Documentary evidence (refer list below)</li> </ol>

List of acceptable **documentary evidence** needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

# FATCA, CRS & ULTIMATE BENEFICIAL OWNERSHIP (UBO) SELF CERTIFICATION FORM FOR NON-INDIVIDUALS

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)  
(For FATCA Instruction & Definitions, please visit <http://www.crownsec.com>)

## FATCA & CRS Declaration

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India  Yes  No  
(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number*	Identification Type (TIN or Other*, please specify)
1.			
2.			
3.			

\* In case Tax Identification Number is not available, kindly provide its functional equivalent.  
In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

### PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

<p>1. We are a, Financial institution <input type="checkbox"/> (Refer Instruction 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer Instruction 3(vii) of Part C) (please tick as appropriate)</p>	<p><b>GIIN</b> <input style="width: 80%;" type="text"/></p> <p><b>Note:</b> If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of sponsoring entity _____</p>
<p><b>GIIN not available</b> (please tick as applicable)</p>	<p><input type="checkbox"/> <b>Applied for</b> <input type="checkbox"/> Not obtained – Non-participating FI</p> <p><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input style="width: 20px;" type="text"/> (Refer Instruction 1 A of Part C)</p>

### PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

<p>1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer Instruction 2a of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded)</p> <p>Name of stock exchange _____</p>
<p>2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer Instruction 2b of Part C)</p>	<p>Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)</p> <p>Name of listed company _____</p> <p>Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company</p> <p>Name of stock exchange _____</p>
<p>3. Is the Entity an active NFE (Refer Instruction 2c of Part C)</p>	<p>Yes <input type="checkbox"/></p> <p>Nature of Business _____</p> <p>Please specify the sub-category of Active NFE <input type="checkbox"/> (Mention code – refer instruction 2c of Part C)</p>
<p>4. Is the Entity a passive NFE (Refer Instruction 3(ii) of Part C)</p>	<p>Yes <input type="checkbox"/></p> <p>Nature of Business _____</p>

### UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

**Category** (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)  
Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details (Refer 3(vi) of Part C)




Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer Instruction 3(iv) (A) of Part (C))			
Country of Tax residency*			
PAN*			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
Tax ID <sup>§</sup>			
Tax ID Type			
City of Birth			
Country of Birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

\* To include US, where controlling person is a US citizen or green card holder  
 #If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.  
 %In case Tax Identification Number is not available, kindly provide functional equivalent  
 \$Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**FATCA - CRS Terms and Conditions**

The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which require Indian financial institutions to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our unit holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.  
 Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.  
 Please note that you may receive more than one request for information if you have multiple relationships with us or our group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.  
 If you have any questions about your tax residency, please contact your tax advisor. If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number.  
 It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

**Certification**  
 I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read alongwith the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We hereby agree and confirm to inform CBCPL for any modification to this information promptly. I/We further agree to abide by the provisions of the Scheme related documents inter alia provisions on 'Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) on Automatic Exchange of Information (AEOI)'.

Signature of Authorised Signatory	
Designation	
Signature	(14) 

**DECLARATION FOR NAME MISMATCH**  
(To be filled if the name on documents is different)

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per PAN CARD \_\_\_\_\_

Name as per Address Proof \_\_\_\_\_

Name as per Bank Proof \_\_\_\_\_

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information. I agree to indemnify and keep CBCPL indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by CBCPL for any act done or omitted to be done on the above declaration.

   
Signature of Client

**DECLARATION FOR SIGNATURE MISMATCH**  
(To be filled if client's signature is mismatched from PAN Card and Bank)

This is to bring into your notice that my signature on PAN Card / Bank and account opening form are as follows:

Signature as per Bank

Signature as per Account Opening Form

Signature as per PAN Card

I hereby confirm that all the above signatures are mine. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep CBCPL indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by CBCPL for any act done or omitted to be done on the above declaration.

Name of the Applicant : \_\_\_\_\_

**ELECTRONIC CONTRACT NOTE [ECN] - DECLARATION  
(VOLUNTARY)**

**CROWN BULLION AND COMMODITIES PVT LTD**

G-6 / G-7, Amit Indl Premises, 61, Dr S.S.Rao Road,  
Near Gandhi Hospital, Next To Citi Tower, Parel (East) - 400012

Dear Sir,

I, \_\_\_\_\_ a client with M/s. Crown Bullion and Commodities Pvt Ltd member of MCX Exchange undertake as follows:

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

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

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


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

Signature of Client (16) 

Date : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Place : \_\_\_\_\_

For CBCPL use	
Verification of the client Signature done by	
Name	
Signature	
Date	



**FOR OFFICE USE ONLY**UCC : 

I/We undertake that we have made the client aware of tariff sheet and voluntary / non-voluntary documents. I/We have also made the client aware of 'Rights and Obligations' document(s), RDD, Do's & 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-voluntary 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.

The above documents can also be provided to the client in hard form or physical form on the request.

**FOR & ON BEHALF OF CROWN BULLION AND COMMODITIES PVT LTD**Name : 

Signature :



Signature of the Authorised Signatory

Date :

(Seal / Stamp of Crown Bullion and Commodities Pvt Ltd)

**FOR BRANCH PURPOSE ONLY**

	Name	Employee/BDR Code	Signature
Introducer / BDR			
Relationship Manager			
Dealer			

**BROKERAGE APPROVAL (if required)**Name of Approving Officer : Designation :  Branch / Location : Date : Signature of Branch Head /  
Zonal Head / Director**CHEQUE DETAILS**

	Towards	Amount	Cheque No.	Date	Bank Name and Branch
<input type="checkbox"/> Y <input type="checkbox"/> N	Account opening Fee (For Trading Account)				
<input type="checkbox"/> Y <input type="checkbox"/> N	Margin Amount				

<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> DOTEX	<input type="checkbox"/> CAMS	<input type="checkbox"/> KARVY	VERIFICATION CALL TO CLIENT		
					Date	Time	Remarks
<input type="checkbox"/> NEW KRA KYC							
<input type="checkbox"/> MODIFY KRA KYC WITH DOCUMENTS							
<input type="checkbox"/> MODIFY KRA KYC WITHOUT DOCUMENTS							

Activity	Name
Form Verified by	
Data punched by	
Code generated by	
Brokerage punched by	

Equities  
Derivatives  
Commodities  
Currency  
Online Trading  
IPOs & Mutual Funds  
CDSL DP Services  
Tax Advisory  
Insurance Advisory  
Investment Advisory  
NRI Advisory  
Portfolio Advisory Services  
Wealth Advisory Services  
Real Estates Advisory Services



**CROWN**

*Your Goals... Our Solutions*

**Mumbai Corporate Office**

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T: 91-22-40690701 (100 Lines) | F: 91-22-40690777

Email - [info@crownssec.com](mailto:info@crownssec.com)