

TRADING BELLS

Client Code :

DP BO ID :

Ringing Profits



COMMODITY CLIENT REGISTRATION FORM

Name :

Branch : Reg. Date :

Sub Broker : Group :

Powered by :



Swastika Commodities Pvt. Ltd.

A SUBSIDIARY COMPANY OF SWASTIKA INVESTMART LTD.

Corporate Member of MCX, NCDEX & ICEX

I n d e x

S. No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	KYC (Account Opening) application form	KYC form - Document captures the basic information about the constituent and an instruction/check list.	02-06
2	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market.	Separate Book
3	Rights and Obligations of Members, Authorized Persons and Clients	Document stating the Rights & Obligations of member, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Separate Book
4	Do's and Don'ts for the Investors	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Separate Book
5	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the Commodity Exchange(s).	Cover
VOLUNTARY DOCUMENTS AS PROVIDED BY THE MEMBER *			
6	Authority Letter for Running Account	Authority Letter for Running Account and squaring of outstanding positions.	7
7	Voluntary Terms & Conditions		7-11

FOR SCPL OFFICE PURPOSE (To be filled by the SCPL Staff)

Client Verification Report	Yes	No	Other Information	
Client Name			Exchange	MCX <input type="checkbox"/> NCDEX <input type="checkbox"/>
Fathers/Husband Name			Mode of Trading	OFF-LINE <input type="checkbox"/> ON LINE <input type="checkbox"/>
Correspondence Address			Other Requirement	Back office id <input type="checkbox"/> Messenger <input type="checkbox"/>
Permanent Address			Details Verified From	
Date of Birth			Mr. / Mrs. / Ms.	
Mobile No.			AtAM/PM on Phone / Mobile	
Bank Detail			By (SCPL staff)	
Form, Original Documents and PAN Verification from Income Tax Database :				
Checked & Verified By :			Authorised By :	
(Signature)			(Signature)	

DOCUMENTS ATTACHED	Yes	No
<input type="checkbox"/> PAN Card (Compulsory)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Copy of Bank Statement/Bank Pass Book/Original Cheque (Cancelled Crossed & Signed)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Passport size Photograph attached in form and signed across the face.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Latest Transaction or holding statement/DP Master issued from the DP.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> ADDRESS PROOF (Any one of the Following) Passport <input type="checkbox"/> Voter ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> Ration Card <input type="checkbox"/> Bank Passbook / Statement (Original) <input type="checkbox"/> Rent Agreement <input type="checkbox"/> Telephone Bill / Electricity Bill (Current month/Last month) <input type="checkbox"/> Aadhar Card <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Document of Financial Details (Compulsory for Trading in Derivatives / F&O)	<input type="checkbox"/>	<input type="checkbox"/>
Any one of the following Latest IT Return <input type="checkbox"/> Copy of Annual Account <input type="checkbox"/> Form 16 in case of salary Income <input type="checkbox"/> Last 3 month Salary Slip <input type="checkbox"/> Bank Account Statement for last 3 months <input type="checkbox"/> Latest Demat Holding Statement <input type="checkbox"/>		
<input type="checkbox"/> Stock Broker / Business partner has done 'In-person verification' through web camera at the branch office of the stock broker / business partner's office	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Form completely filled up	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Form Duly signed	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> No's of signatures : Trading 📍 (13)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> All documents are self certified.	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> All Documents are verified by SCPL staff. (with rubber stamp of Verified with Originals)	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Pending documents (If any)	<input type="checkbox"/>	<input type="checkbox"/>

(For Office Use Only)

Client Code allotted to the Client :

Particulars	Documents verified with Originals	Client Introduced By	In-Person Verification & Interviewed by
Employee / Sub Broker Name			
Designation and code of the employee			
Date			
Signature			

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

Place :

Date :

Seal/Stamp of the stock broker/ Sub-Broker

Signature of the Authorised Signatory / Sub-Broker

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) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / UT code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only ApplicationType* New Update


(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN- Indian <input type="checkbox"/> Others (ISO 3166 Country Code)			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
OccupationType*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> B-Business <input type="checkbox"/> Student <input type="checkbox"/> X- Not Categorised			

PHOTO



(01)

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT/PERMANENT/OVERSEAS ADDRESS DETAILS (Please see Instruction D at the end)

(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

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.TCode* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overse as Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.TCode* City / Town / Village* ISO 3166 Country Code*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT'S RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

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

Line 1*

Line 2

Line 3

State* ZIP / Post Code* City / Town / Village* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

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

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

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 code 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.

[Signature / Thumb Impression]  (02)

Date : - - Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

[Employee Signature]

[Institution Stamp]

General Instructions:

- 1 Fields marked with '**' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's name** is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity Profile section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [POA]- Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [POA]- Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill 'Annexure-1'

F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [POI] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

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

SWASTIKA COMMODITIES PVT. LTD.

Regd. Office : 48, Joara Compound, MYH Road, Indore-452001 (M.P.)

Tele No. 0731-6644000 Fax No. 0731-6644300

National Commodities & Derivatives Exchange Ltd. (TM Code No. 00844)

Multi Commodities Exchange of India Ltd. (TM Code No. 35120)

Indian Commodities Exchange Limited (TM Code No. 1255)

FMC Code : MCX/TCM/CORP/1419 : NCDEX/TCM/CORP/0832 : ICEX/TCM/CORP/0259

Compliance Officer :

Mr. Arvind Mishra,

Ph.: 0731-6644145-146,

E-mail : commodities@swastika.co.in

For any complaint mail to us at

compliance@swastika.co.in

A. OTHER DETAILS

(Tick whichever is applicable)

GROSS ANNUAL INCOME RANGE : Below Rs. 1 Lac Rs. 1-5 Lacs Rs. 5-10 Lacs Rs. 10-25 Lacs Above 25 Lacs

Networth as on (Date) (Rs.) (Net worth should not be older than 1 year)

NAME OF EMPLOYER OR ESTABLISHMENT :

OCCUPATION : Private Sector / Public Sector / Government Service / Business / Professional / Farmer / Other

Please tick if applicable : Politically Expose Person (PEP) / Related to a Politically Exposed Person (PEP) / Not a Politically Expose Person (PEP) / Not a Related to a Politically Exposed Person (PEP)

B. DETAILS OF BANK ACCOUNT

(1) NAME & ADDRESS OF BANK

ACCOUNT No. ACCOUNT TYPE SB CA Others

IFSC CODE MICR CODE

(2) NAME & ADDRESS OF BANK

ACCOUNT No. ACCOUNT TYPE SB CA Others

IFSC CODE MICR CODE

C. DEPOSITORY ACCOUNT DETAILS (COMMODITY SEGMENT)

(DP) Name and Address

Beneficiary Owner Account No. DP ID

D. SALES TAX REGISTRATION DETAILS

Local Sales Tax Registration No. Validity Date Name of State

Other Local Sales Tax Registration No. Validity Date Name of State

Central Sales Tax Registration No. Validity Date

E. VAT DETAILS (AS APPLICABLE, STATE WISE)

Local VAT Registration No. Validity Date Name of State

Other Local VAT Registration No. Validity Date Name of State

F. INVESTMENT/TRADING EXPERIENCE No Experience ___ Years in Commodities ___ Years in Other Investment field

G. TRADING PREFERENCE

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

Sr. No.	Name of the National Commodity Exchanges #	Date of Consent for trading on concerned Exchange	Signature of the Client
1.	MCX		<input type="checkbox"/> (03)
2.	NCDEX		<input type="checkbox"/> (04)
3.	ICEX		<input type="checkbox"/> (05)

H. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/ taken by FMC / SEBI / Stock exchange / Commodity exchange / any other authority against the client during the last 3 years: _____

I. DEALINGS THROUGH OTHER MEMBERS									
<p>E If client is dealing through any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below) :</p> <p>Member's / Authorized Person (AP)'s Name:</p> <p>Exchange:</p> <p>Exchange's Registration number:</p> <p>Concerned Member's Name with whom the AP is registered:</p> <p>Registered office address: Ph:</p> <p>Fax: Email:Website:</p> <p>Client Code:</p> <p>Details of disputes/dues pending from/to such Member/AP:</p>									
J. ADDITIONAL DETAILS									
<p>E Whether you wish to receive communication from Member in electronic form on your Email-id : <input type="checkbox"/> Yes <input type="checkbox"/> No</p>									
K. INTRODUCTION DETAILS (Optional):									
Name of the Introducer :									
Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify									
Address & Phone No. : (Signature of Introducer)									
L. NOMINATION DETAILS									
<input type="checkbox"/> I/We wish to nominate					<input type="checkbox"/> I/We do not wish to nominate				
TRADING CODE									
NAME OF THE NOMINEE									
FATHER / HUSBAND NAME		PAN No.							
RELATIONSHIP		Date of Birth							
ADDRESS OF NOMINEE									
PHONE NUMBER									
If nominees is a minor detail of guardian									
NAME OF THE GUARDIAN							Age		
ADDRESS OF GUARDIAN									
Telephone No.									
DECLARATION									
<p>1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any change therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.</p> <p>2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.</p> <p>3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and Dont's'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Member's designated website, if any.</p> <p>Date :</p> <p>Place : Client Name: Signature: (06)</p>									
Details of Witness					Note : Two witness shall attest signature(s)/Thumb impression (s)				
<p>In the presence of WITNESS -</p> <p>Signature (Witness 1) :</p> <p>Name & Address</p> <p>.....</p> <p>.....</p>					<p>In the presence of WITNESS -</p> <p>Signature (Witness 2) :</p> <p>Name & Address</p> <p>.....</p> <p>.....</p>				

(VOLUNTARY DOCUMENT)

AUTHORITY LETTER FOR RUNNING ACCOUNT AND SQUARING OFF OUTSTANDING POSITIONS

To,
Swastika Commodities Pvt. Ltd.
Indore - 452 001 (M.P.)


Dear Sir,

Ref : Commodity Trading Account No. _____

With regard to my/our settlement wise pay-outs, Please note that you may retain the credits of my/our account as margins for my/our outstanding purchases/sales positions. As and when I/We require the money, I/We will be informing you of the same for future exposures and on receipt of the instructions from me/us, you can release the amount.

I/We request you to maintain my/our accounts for funds and collaterals with you in respect of the above UCC as running accounts, instead of on a trade to trade settlement basis, unless I/We specifically request you for a payout of available free funds or securities there out. You may settle the accounts at six monthly intervals, or at such other longer or shorter intervals as the Regulator / Commodity Exchanges may specify and while so settling the accounts, you may retain with you, in respect of my/our open market positions, required to meet the maximum likely margin obligations for the three trading days next following the date of settlement or such other funds by way of margin as the Regulator/Commodity Exchanges may specify from time to time. At any settlement, you may make payment of the balance fund left such retention, if any, only if such balance is not less than Rs. 50,000/- or such other sums specified by the Regulator/Commodity Exchanges. This standing instruction shall remain valid until revoked in writing addressed to you.

Client Name:

Signature:  (07)

VOLUNTARY TERMS AND CONDITIONS

Whereas the client intends to open commodities trading accounts with Swastika Commodities Pvt. Ltd., (hereinafter referred as SCPL) for the purpose of trading in commodity Derivatives on the Multi Commodity Exchange of India Limited and the National Commodity and Derivatives Exchange Limited and such other National Commodity Exchange (s) as are/may be recognized by Government of India under Section 6 of the Forward Contracts (Regulation) Act, 1952 (FCRA) of which SCPL may become a Member and as the Client may opt from time to time.

And whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by SCPL and also the additional services that may be made available by SCPL from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions.

The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute binding contract between the parties and shall be enforceable by either party against the other.

1. Authorization to debit additional charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that SCPL may levy additional charges for any additional service rendered by SCPL, including but not limited to, Annual Maintenance Charges and transaction charges with respect to Clients Demat /Comtrack account, legal expenses incurred by SCPL for recovering unpaid dues from the Client, charges on delayed payments, account maintenance charges where brokerage falls below the minimum amount prescribed from time to time, Delivery charges etc. and all reasonable costs, as may be incidental or consequential to rendering the said services. The said charges will be debited to the client's ledger account with SCPL.

2. Setting up of Exposure Limits :

2.1 Upfront Margin : Client is required to pay initial margins upfront, i.e., in advance of the trade, and all other

applicable margins within the time prescribed by the Regulator from time to time. 'Other applicable margins' shall mean mark to market margin, special margin, additional margin, tender margin, delivery margin or any other margin as may be prescribed and required by the Exchange(s) or the Regulator to be collected from clients. In case of non payment or short payment of any margin, penalty at the rate prescribed by the Regulator/Exchange(s) from time to time shall be levied to the Client on the margin not/short paid by him/her/it. Client accepts and agrees that SCPL may, at its option, demand higher margins from the Client than the margins required by the Exchanges.

2.2 SCPL may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of funds / securities / bank guarantees / fixed deposit receipts. SCPL at its sole discretion may refuse to accept any security as collateral / margin. SCPL shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client. SCPL shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of SCPL and such other factors or conditions which SCPL may consider relevant for the purpose. SCPL reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk of the Client.

2.3 Neither SCPL, not any affiliate of SCPL not their respective directors, officers, employees, agents shall in any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees and expenses) arising from any variation or reduction or exposure turnover limits by SCPL.

3. Delayed payment and consequences :

- 3.1 Notwithstanding anything contained in these presents, any amounts which are overdue from the client in his/her/its account shall be liable to delayed payment charges at the rate upto 3% per month or part thereof or such other rate as may be determined and communicated by SCPL. Client authorizes SCPL to debit the delayed payment charges to the account of the client at the end of each month / such other interval as may be decided by SCPL.
- 3.2 SCPL shall be entitled to suspend or terminate the contract, without prior notice, if the client fails to fulfil his/her/its payment obligations hereunder to SCPL, provided, however, that client discharging payment obligations shall not preclude SCPL from terminating the contract or refusing to place trade orders for the client if the client is found to have / be indulged / indulging in nay activities violative of the regulations or the integrity of the market.

4. SCPL rights to square off :

Without prejudice to SCPL's other rights, in the event of the client failing to maintain/supply immediately on demand applicable margin money required to sustain the outstanding market positions of the client, SCPL shall be entitled, at its option and liberty, to liquidate/close out all outstanding market positions or any part thereof such that the outstanding market positions are either zeroed out or reduced to an extent where available margin covers the market positions remaining after such square off. For removal of doubt, it is clarified that SCPL may square off the entire outstanding market interests of the client and the client shall not, as a matter of right, be entitled to reduction of the outstanding positions in stages in order that positions to the extent of available margin are retained in the client's account. Any loss arising from such square off of positions shall be to the account of the client. SCPL may also sell all or any securities / collateral of the client lying with and adjust the sale proceeds against the client's unpaid dues arising from any transactions, charges, levies, or fees in the client's account including squaring off of client's open market positions due shortage of margin. Any and all losses and financial charges on account of such sale shall be borne by the client. Such liquidation / sale may be without any prior reference or notice to the client. Client shall keep and hold SCPL indemnified and harmless from any loss arising out of such squaring off / sale.

5. Lien and right of sale :

All securities, commodities, funds and/or properties of the client placed with SCPL shall be subject to a lien in favour of SCPL for the payments for all sums due by the client or fulfilment of un-discharged liabilities and obligations of the client in relation to his/her/its transactions in respect of the account and for the sums of money owing by the client to any of the companies of SCPL. SCPL shall be entitled to withhold any securities, commodities, funds deposit receipts and/or property of the client as security towards any such un-discharged dues, liabilities or obligation of the client and to sell and/or appropriate to itself all such securities, commodities, funds, deposit receipts or properties at its sole discretion and at any point of time, without notice to the client.

6. Refusal of Client requests for trades/transactions : SCPL is entitled in its sole discretion to :

- 6.1 Restrict or refuse execution of any orders for transaction in any contract if transaction in such contract is not in accordance with its internal due diligence policy and/or the directives and guidelines of the Exchanges or the Regulator issued from time to time. The client agrees and understands that SCPL may impose such restrictions / embargo on contracts having regard in general to, but not limited to, any one or more of the following factors viz. i) Market volatility, ii) Price sensitive announcement relating to any commodity, iii) Restrictions on trade volume imposed by the Exchange concerned, iv) Political instability in the country, v) External aggression or internal rebellion or vi) Default by the Client to maintain applicable collateral /margin or to make payment of dues of any other factors influencing the commodities market. Any decision of SCPL to restrict or refuse transactions in any contracts on such grounds shall not be called in question by the Client, not on the ground that Client was not put on notice before imposing such restrictions / embargo ;
- 6.2 To refuse to accept or act upon any requests / orders of the client which, in SCPL's sole opinion, are intended to manipulate, or likely to have the effect of manipulating, trades, trade volume or price, fraudulent in nature or otherwise in breach of applicable laws and/or SCPL's internal policies. Decision of SCPL whether any request/order of the client is manipulative, fraudulent or in breach of the laws shall be final and it shall not be obliged to the Client to disclose any reasons for its finding ;
- 6.3 Disallow any trades or transactions in respect of certain contract which may be below / above certain value / quantity as may be decided by SCPL from time to time.
- 6.4 Close out any transactions which may have been executed but which SCPL was entitled to disallow or refuse to execute for any of the reasons aforesaid;
- 7 Client to have Mobile Connection :** Client agrees to have a mobile connection as a pre-connection to opening & maintaining the a/c with SCPL & undertakes to notify SCPL promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to SCPL.
- 8. Aggregation of open market positions of the Client by the Exchange :** Client agrees that if the Exchange directs / advise SCPL to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of SCPL in the contract, SCPL may square off the open market positions of the client in the contract as directed by the Exchange. Client also agrees that , though SCPL may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring off the positions under this clause and all losses, if any arising from such squaring off shall be to the account of the client.
- 9. Payment of Full Contract Value :** Client agrees to pay a SCPL for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with SCPL, one day prior to the commencement of the tender prior for the respective

contract, and if that day is a bank holiday, on the day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, SCPL at its discretion may square off all part of the open positions of the Client and all and any losses arising there out shall be to the account of the client.

10. Authorization for pledging shares / commodities :

The client understands and agrees that SCPL may pledge the collateral / margin shares of the client with the respective Commodities Exchange / clearing house of the Exchange, for margin purposes or scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds from time to time to the extent account of the client carries debit balance but without any obligation on its part of so raise funds by pledging the shares and without prejudice to the right of SCPL to enforce, at its option, the collateral security in the shares to liquidate the debit balance at any time.

11. Suspension and deregistering of Client's Account / suspension of services :

11.1 If the Client apprehends that security of his/her/its account has been/is likely to be breached, the client shall immediately inform SCPL by contacting Customer Care department. SCPL may on receipt of such information suspend all transactions in the account and restore the account is investigation as it may deem fit, that the integrity of the account is intact or restored to a secure state. SCPL reserve the right to report to investigating agencies, the concerned Exchange or the Regulator, any breach of security or integrity of the account of the Client or of its misuse in a manner which may be a violation of the applicable rules and regulation or of the policy of SCPL, whether on information received from the Client or from any reliable source or on such breach coming to its notice on its own investigation. The account of the client shall, if suspended, remain so suspended until such time as the Client's request in writing for reactivation of the account is received by SCPL. All open market positions outstanding in the account when suspended under this clause shall be closed on the infractions of the client and, if the client fails to instruct SCPL, SCPL may close the open market positions at its option and loss , if any arising from such close out shall be to the Account of the client. Nothing in this clause shall prevent SCPL from selling any securities, commodities, funds and/or properties of the client in its possession and/or power to recover any dues owing by the Client to SCPL.

11.2 SCPL may, as and when it considers it necessary and without prior notice to the client, prohibit, restrict or suspend the client's access to use of the s provided to the client under this Agreement, whether in part or entirely.

11.3 SCPL reserves the right to de-register the client without prior notice in the event of :

- a. The client committing any breach of the terms of this agreement ;
- b. The client committing infraction of any Rules, Bye-Laws, Regulations of the Regulator or Exchange or of the provisions of any law for the time being in force governing dealing in the commodities market ;
- c. Directions / orders being given for de-registration of the client by the Regulator, the Exchanges, a competent court of law or any other lawful authority ;

d. Death, winding up, bankruptcy, liquidation or want/loss of legal capacity of the Client ;

e. The client being designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator / Authority including without limitation to the Regulator ;

f. Bank account, demat / comtrack account, commodities account of the client being frozen or attached by any court of law or any other competent authority for whatever reason ;

g. The client being found to have made false representation of facts or produced false, forged or fabricated documents at the time of account registration ;

h. The client including in, directly or indirectly, either by himself/herself/itself or in connivance with the Authorised Person or any third parties, in any of the activities, or entering into any arrangement or understanding with anyone including the Authorised Person, which are prohibited the Regulator or the Exchanges, or in breach of the agreement of the client with SCPL or its policies, or in the nature of Portfolio Advisory Services / Portfolio Management Services, or in expectation of assured returns / profits or with a view to share such returns / profits ;

i. Any legal proceedings or investigation involving the client that may imply a risk of the client being declared insolvent by a competent court of law or his /her /its properties being confiscated, impounded or seized ;

j. The client failing to discharge his /her/its payment obligations to SCPL ;

k. If the client migrates to and/or becomes resident of a jurisdiction which prohibits trading in Indian contract or otherwise subjects SCPL or any of its employees to any licensing, registration, or reporting requirements under any laws, rules or regulation applicable in that jurisdiction.

12. Orders at Unrealistic Prices/ in Illiquid contracts :

The client hereby confirms that it will not place or cause to be placed with SCPL orders in contracts at prices substantially different from their prevailing market price. The Client agrees that any order placed by the client at a price substantially different from the prevailing market price for the contract is liable to be rejected at the sole discretion of SCPL The client also agrees that SCPL may in its sole discretion, and without disclosing any reasons, restrict or prohibit trading in any contracts in any commodities which are considered liquid or unsuitable for trade a list of which is available for view on SCPL's back office system through secured login. The client understands that said list is not exhaustive, through on a best effort basis SCPL keep the list updated, and SCPL would be within its rights to restrict or prohibit trades in any contracts / commodities not included in the list.

13. Execute / Self / Wash / Match Trades : Orders of buy and sell placed at such rates and within such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by SCPL without prejudice to its other rights to impose penalty on the client and/or de-register the client. SCPL may also report such instances to the Exchange or the Regulator for appropriate action at their end.

- 14. Disclaimer :** The client understands and agrees that neither SCPL nor any other party disseminating any market data, message or information through Website of SCPL or in any other media shall be liable for :
- Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
 - Any loss or damage arising from or occasioned by (i) any such inaccuracy, error, delay or omission, (ii) non-performance, or (iii) interruption, by SCPL or any disseminating party whether due to any "force majeure" causes (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute / unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of SCPL or any disseminating party.
- 15. Manner and Mode of placing orders / instructions :** The Client may communicate orders and other instructions to SCPL or the Authorised Person as the case may be over phone at the designated contact telephone number, or in writing, or through email sent from designated email ID, or by personally visiting the designated office of SCPL / Authorised Person. Client may use any one or more of these means or communication or such other means / mode as may be permitted by the Regulator / Exchanges from time to time for placing orders.
- 16. Non-execution / delay / cancellation or Orders :** The client hereby agrees that SCPL or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication networks, hardware or software problems or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of SCPL or the Exchange.
- 17. Client not to act on representations of agents, employees :** The Client is aware that SCPL has authorised by any agents, representatives, employees or other person to make on its behalf any representation, or any promise, assurance, warranty, undertaking or commitment as to return of profit on investment of the Client, whether in writing or otherwise, and understands that SCPL shall not be liable in any manner for any loss or damage incurred by reason of Client acting or making investments on such representation, promise etc.
- 18. Recording of Conversation :** The client is aware and agrees that SCPL may tape record the conversation between the client/client's representative and SCPL, whether over the telephone or in person, Client understands that SCPL has exclusive proprietary right on the recorded conversations and it is under no obligation to furnish copy of the same on any medium in electronic form or their transcription to any person, other than competent lawful authorities or in their orders.
- 19. Confidentiality of Client Details :** Details and information relating to the client including trade related information shall be kept confidential and shall not be disclosed to any person/authority except as required under authority of Law. However, where requisition for such details and information is received under authority of Law, SCPL may part with such details and information without prior reference or intimation to the Client. The client, however, understands and agrees that SCPL may share details of the client with its own group companies / branches / authorised person and with prescribed KRY (KYC Registering Authorities).
- 20. Disclosure as to Proprietary Trades by SCPL :** SCPL may carry out proprietary trades in addition to trades on behalf of its Clients.
- 21. Severance :** IN case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby and full force and effect shall be given to those remaining provisions.
- 22. No Waiver :** No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
- 23. Notices :** All notices or communications issued by SCPL shall be served on the client in any one or more or all of the following ways at the ordinary business address and/or ordinary place or residence and/or last known address of the client.
- 23.1 (a) by ordinary post or (b) by registered post (c) bulk delivery or (d) by express delivery post or (e) by courier, or (f) by SMS on registered mobile or by telephonic call or (g) by affixing it on the door at the registered or the last known business or residential address or (h) by oral communication to the party or on the last known telephone number or on the recording machine of such number or (i) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (j) by publishing it in the website of SCPL wherein secured log-id and password to Client is provided or (k) by a notice posted on the notice board of the exchange if no address be known or (l) by electronic mail or fax or (m) by hand delivery or by courier or any other mode as may be allowed for communication.
- (b) Contract Notice, Bills, Ledger Accounts, Margin Statements and all other account / transaction related statements / information / documents / reports shall be delivered to the client at the registered address of the Client, (a) by ordinary post or (b) by registered post (c) bulk delivery post or (d) by express delivery post or (e) by courier, or (f) by SMS on registered mobile where the document admits of such transmission and all dispatches through any or more of the aforesaid modes at Sl. (a) to (e) shall be deemed to have been delivered to the Client when despatched to the registered address of the Client, with proper stamp or as the case may be, courier charges prepaid.
- 23.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between SCPL and the Client may be made orally.

- 24. Electronic Contract Note (ECN) :** Client understands that he may opt to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of physical contract notes through e-mail by authorizing SCPL in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent. The Client shall access and verify the ECN and all information contained therein. In case of discrepancy in the Contract Note, the Client, shall inform SCPL either in writing or via E-mail within 7 working days of the receipt of the same. SCPL shall also publish the Contract Notes, bills, ledger accounts, margin statement and other account/ transaction related statements / information / documents on the back office or on any other designated location specified by SCPL from time to time, which the client can access inline. The Client will be issued a login ID & password by which the Client can login in to the back office and view/save/print the ECN & other statements, accounts or documents. Should the client experience any difficulty in opening the ECN, SCPL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise SCPL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
- 25. Electronic Transmission of other Documents :** The client has opted for ECN agrees that SCPL may transmit to the client any statements, documents or intimation including, but not limited to, Margin Statement, Ledger accounts, bills, Statements of Funds and Commodities, margin and maintenance calls & other notices/communications in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, SCPL shall be deemed to have received delivery of such documents. Discrepancies if any in documents should be brought to the notice of SCPL within seven working days from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein & shall be binding on the client.
- 26. Electronic Payment Gateway for Net Banking Services :** SCPL may provide on its internet trading website, without additional cost to the client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with SCPL. Client understands that SCPL is only providing access to the electronic fund transfer facility provided by the banker of the client through SCPL's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make SCPL a party to any litigation, claim, dispute, difference or complaint that the client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that SCPL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from client's account with the Bank.
- 27. Internet / Wireless Technology based Trading facility :** SCPL offers Internet and mobile Trading facility for transaction in commodities on the concerned Exchanges. The client may avail of such trading facility by SCPL by complying with the formalities prescribed therefor.
- 27.1 Non-usage of Internet/Wireless Trading Facility:** If the client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as SCPL may notify, the facility may be deactivated without notice and the client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of SCPL.
- 27.2** The client understands and agrees that SCPL has different product of the Internet Trading /Wireless Trading software which have been approved by the Exchanges and the client has option to choose any product convenient to him. The client also understands and agrees that depending on the trading activity of the client, SCPL shall have the exclusive right and liberty to change the product version allotted to the client or to allot a different product of the Internet Trading/Wireless Trading facility.
- 28. Extra Ordinary Events and termination/suspension of trading facility :** SCPL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication network or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond SCPL's control resulting in non-execution, partial or incomplete execution of orders and the resulting financial loss, if any SCPL may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the client.
- 29.** Any provision of this agreement may be amended by writing signed by each Party. No waiver of satisfaction of a condition or performance of an obligation under this agreement will be effective unless it is in writing and signed by the party granting the waiver.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

For Swastika Commodities Pvt. Ltd.

Authorised Signatory _____

Client Signature _____ (08)

Signature of Witness

Name _____

Address _____

(VOLUNTARY DOCUMENT)

AUTHORITY FOR ADJUSTMENT IN DIFFERENT SEGMENTS / EXCHANGES

To,
Swastika Commodities Pvt. Ltd.
Indore - 452 001 (M.P.)

Date :

Dear Sir,

Notwithstanding anything contrary contained in the agreement between us, I/We hereby inform you that I/we have a trading account with you (Swastika Commodities Pvt. Ltd.) for trading in commodities in MCX, NCDEX and ICEX exchanges and with your holding company Swastika Investmart Ltd. for trading on NSE (Cash, F&O, Currency and Debt Segment), BSE (Cash and F&O Segment), and MCX SX (Cash, FO and Currency Segment).

I/We hereby authorize you to transfer, make adjustments and/or to set off a part or whole of the securities placed as margin and/or any surplus funds in any of my account/(s) maintained with you against the outstanding dues payable if any, by me/us in any of my / our account/(s) maintained with any of the aforesaid companies.

I/We hereby request to treat this authority between you and me/us and Swastika Investmart Ltd. as a co-extensive agreement.

You and Swastika Investmart Ltd. shall have right to utilize the credit balance in any of my/our account/(s) irrespective of whether it is maintained with you or Swastika Investmart Ltd. and any entries passed by you in accordance with this authorization shall be legally binding on me /us.

Client Name:

Client Code:

Signature:  (09)


(VOLUNTARY DOCUMENT)

ADJUSTMENT OF BALANCES IN FAMILY / ASSOCIATE ACCOUNTS

To,
Swastika Commodities Pvt. Ltd.
Indore-452 001

Date

I/We here by confirm that my/our family members / associate constituents have also been regularly trading and investing with you under your membership with various stock exchanges. I/We here by confirm & agree that you shall entitled to set off and adjust the money and / or securities owned to / owned by you against each other amongst the following constituent

S.No.	Client Code	Name of Family constituent / Associate	Relation	Signature of Client
				 (10)

I/we here by agreed to treat all the above constituents as a Family of accounts :

- a) I/We authorise you to accept and execute Commodity Trading orders placed by any of the aforesaid constituents for and on behalf of my / our account with you.
- b) I/We hereby authorise you to set off the outstanding amount in my account with the above mentioned accounts against the balance (Dr./Cr.) available or arising in any of the above accounts irrespective of the fact that such balance (Dr./Cr.) in the account may pertain to transactions in any segment of any exchange and/or may pertain to the value of cash margin or against the value of sale proceeds of collateral shares provided to you by any constituent(s) of the family.
- c) I/We authorise you debit the delay penalty on the debit balance of the family, to the account of _____ (Code) irrespective of this account having a credit balance and not charge the penalty on delayed payment proportionately to each account.
- d) I/We further authorise you to pay the net credit balance in the aforesaid family account to any constituent of the Family on demand in writing, irrespective of the debit balance in such constituent's account held with you. I/We are aware that the payment of the said net credit balance shall be solely at your discretion.
- e) In respect of the Collateral given for margin to you by me/us, I/We request you to consider the securities so given to you as margin towards the trading exposure of any or all of the above mentioned accounts.
- f) I/We agree to intimate you from time to time of any additions or deletions of Client's to the said family. I/We agree that any deletion shall take effect only on completion of settlement and adjustments of balances in all the accounts of the Client's belonging to the family.
- g) That in further I/We shall not make any claim from Swastika Commodity Pvt. Ltd. in any manner whatsoever of any collateral adjusted from cash or securities in my account to set of the outstanding debit amount in the mentioned accounts and I/We further state if anybody on my / our behalf claims the above set adjusted amount, the set act shall be null and void and shall be in effective from all corners.

I/We hereby declare that the details furnished above are true and correct to the best of my knowledge with my true consent and without any pressure or treated.

Client Name:

Client Code :

Signature:  (11)

(12)

ACKNOWLEDGMENT OF KYC DOCUMENT BY CLIENT

To,
Swastika Commodities Pvt. Ltd.
Indore-452001

Sub: Receipt of copy of KYC form, RDD and other executed documents.

Dear Sir,

This is to acknowledge that I/we have received a copy of all the completed documents viz. Client Registration form (KYC), Right & Obligations, Guidance Note, Risk Disclosure Documents and copies of other documents executed by me/us. I/We further confirm that I/We are aware of all the 'Policy and Procedures', all the non-mandatory documents, 'Rights and Obligations' document (s), Risk Disclosure Documents and Guidance Note etc.

Thanking You,

Client Name:

Client Code:

Date :

(12)

Client Signature

INTRODUCTION LETTER (To be submitted by Sub Broker/Business Associates)

Swastika Commodities Pvt. Ltd.
Indore-452001

Date: _____

Dear Sir/Madam,

We hereby introduce Mr. /Ms. /M/s, _____ (client)

PAN No.

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 to be registered with you for opening of trading account for trading in the MCX, NCDEX and ICEX segment. I/We hereby confirm/declare that:

- I/We have personally verified all the documents submitted herewith, related to the identity and address of client, as per the KYC norms given by the FMC and Commodity Exchanges.
- In my/our opinion client is fit and proper person to deal in commodity futures.
- The details filled in the CRF forms of the client are true and correct. In case any information is found to be false or untrue or misleading or suppression of material information, I /We will be held liable for it.
- I/We request you to map this Account's in my/our Sub-brokership /business Associate Group.

I/We hereby, gives my/our continuing guarantee for above client and unconditionally and irrevocably agree to indemnify Swastika Commodities Pvt. Ltd., and shall always keep indemnified, harmless from and against all claims, demands, proceedings, loss, damages, liabilities and/or expenses that are occasioned or may occasioned to Swastika Commodities Pvt. Ltd. directly or indirectly, owing to the transaction, undertaken in the above client account.

Thanking you,
Yours faithfully,

Rubber Stamp (Signature of Sub broker / Business Partner)

Name & Address

.....Phone No.

TRADING BELLS

Ringing Profits

Form No.

Email : sales@tradingbells.com Phone No. : 022- 33756200
Website : www.tradingbells.com

Corp. Marketing Office :

913-914 Shekhar Central,
Palasia Square,
Indore (M.P.) - 452001

Registered Office :

305, Madhuban Building,
Cochin Street, SBS Road,
Fort, Mumbai - 400001

Powered by :

Swastika Commodities Pvt. Ltd.

CIN : U01112MP1996PTC010404

FMC REG. NO. MCX : TCM/CORP/1419 , NCDEX : TCM/CORP/0832, ICEX : TCM/CORP/0259

 **swastika investmart**
THE WEALTH MAKERS

www.swastika.co.in

Ph No.: 0731-6644444

Group : Member of NSE, BSE, MCX, NCDEX, MCX-SX & ICEX, DP : CDSL & NSDL

REGN NO. : NSE : INB/F/E231129736, BSE : INBO11129732, MCX : MCX/TCM/CORP/1419, NCDEX : NCDEX/TCM/CORP/0832, MCX-SX : INE261129736, CDSL DPID : 12043700, NSDL DPID : IN303833, MERCHANT BANKING : INM000012102