

CLIENT REGISTRATION FORM

Sl. No.

Individual / HUF / Firms / Corporate



DPL COMTRADE PVT. LTD.

Member : Multi Commodity Exchange of India Ltd. (MCX)

SEBI Regn. No.: INZ000105533 • Member ID : 55705

Branch Name	
Name of Client	
Client Code	
Account Opening Date	

DPL COMTRADE PVT. LTD.

CIN : U93000HR2015PTC057364

Member : Multi Commodity Exchange of India Ltd. (MCX)

SEBI Regn. No.: INZ000105533 • Member ID : 55705

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2,
Faridabad-121001 (Haryana)

Ph.: 0129-4037321

Corporate Office : VC-1, Prime Plaza, 1st Floor, Sector-3,
Vaishali-201010, Ghaziabad (U.P.)

Tel.: 0120-4229945, Fax : 0120-4229947

Email : dplcomtrade@gmail.com

Website : www.dplcomtrade.com

CEO Details

Name : Mr. Sushil Kumar Jain Ph.: 0120-4229945

E-mail Id : skjain@divyaportfolio.com

Compliance Officer's Details

Name : Mr. Chandan Kumar Jha Ph.: 0120-4229945

E-mail Id : chandan@divyaportfolio.com

Clearing Member Details :

GLOBE COMMODITIES LIMITED

SEBI Regn. No.: -INZ000024939 (MCX)

804, Ansal Bhawan, 16 K.G. Marg, Connaught Place, New Delhi-110001

Phones No:-011-30412345, 40412345, 43666400, 43666566, Fax No:-011-23720883, 23712630

For any grievance/dispute please contact **DPL Comtrade Pvt. Ltd.** at the above address or email id- grievances@dplcomtrade.com and Phone No. +91-120-4229945. In case not satisfied with the response, please contact the concerned exchange at (MCX) grievance@mcxindia.com and Phone No. +91-22-67318888.

ACKNOWLEDGEMENT TO DPL COMTRADE PVT. LTD. FROM CLIENT

To,

DPL COMTRADE PVT. LTD.

Date: _____

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

I/We intends to open a Commodity Trading account with M/s. DPL Comtrade Pvt. Ltd. who is Member of MCX, undertakes as follows:

1. I/We have been duly aware by Member that client has a preference to receive the below referred documents either in electronic form or in physical form:
 - A. Right and Obligations of Member, Authorized Person and Clients.
 - B. Internet and Wireless technology based trading facility provided by Member to Clients.
 - C. Risk and Disclosure document for commodity market.
 - D. Guidance Note-Do's and Don'ts for trading on the Exchange(s) for Investors
2. I/We am/are further aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then Member can sent said aforesaid documents at my registered email id.
5. I/We have been further aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. at www.dplonline.co.in
6. I/We am/are aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

 1

Client Signature

Client Name: _____

----- (Tear Here) -----

RECEIPT OF PHYSICAL KIT

To,

DPL COMTRADE PVT. LTD.

Date: _____

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

I/We hereby confirm that I/We have received a copy of following documents:

- A. Right and Obligations of Member, Authorized Person and Clients.
- B. Internet and Wireless technology based trading facility provided by Member to Clients.
- C. Risk and Disclosure document for commodity market.
- D. Guidance Note-Do's and Don'ts for trading on the Exchange(s) for Investors
- E. Other disclosure/ documents as agreed by me/us specifically in voluntary segment.

 2

Client Signature

Client Name: _____

----- (Tear Here) -----

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	KYC Form - Document captures the basic information about the constituent and an Instruction / checklist.	1-11
2.	Uniform Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the commodities market	Given to Client with Welcome Kit
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).	
4.	Do's and Don'ts for the Investors	Guidance Note for dealing in commodities market.	
5.	Policies and Procedures	Document describing significant policies and procedure of the commodity broker.	12-15
6.	Tariff Sheet	Document detailing rate / amount of brokerage and other charges levied on the client for trading on the commodity exchange(s).	16
7.	Disclosure Information	Pro-Account Disclosure Information	16

VOLUNTARY DOCUMENTS

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Electronic Contract Note	Consent for receiving ECN & E-Documents	17
2.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	18
3.	Running Account Authorisation	Running Account Authorisation	19
4.	Format of Bank for Verification	Letter from bank for Client bank account verification	20
5.	Request for Trading in Commodity Forward Contracts/ Commodity Derivative on MCX	Request for Trading in Commodity Forward Contracts/ Commodity Derivative on MCX	21
6.	Mobile Declaration	Declaration and permission to send information/alerts/SMS/call on the mobile no.	21
7.	SMS & E-mail Alerts	SMS & E-mail alerts to the clients given by the exchanges.	22
8.	Undertaking to Act in Own Capacity	Letter giving clients confirmation to act in his own capacity	23
9.	Declaration for Name Discrepancy in PAN Card, Bank Proof & Address Proof	Declaration	24
10.	Declaration by Joint Family	To be given by the Karta and Co-parceners of HUF	25
11.	Declaration by Sales Person / Sub-Broker / Authorised Person	Declaration	26
12.	Format of Declaration to be given by Partnership Firm	To be given by the Partners of the firm for opening of account	27
13.	Format of Board Resolution to be given by Corporate Client	Format of Board Resolution to be provided by Corporate entities on their letter head for opening of account	27

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

- Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

- PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

- Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

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

- In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50, 000/- p.a.

- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorised signatories list with specimen signatures.
Partnership Firm	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorised signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> PAN of HUF. Deed of declaration of HUF/List of coparceners. Bank pass-book/bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> Proof of Existence/Constitution document. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> Copy of SEBI registration certificate. Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> Self-certification on letterhead. Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

- Additional documents in case of trading in derivatives segments - illustrative list :

<ul style="list-style-type: none"> Copy of ITR Acknowledgement Copy of Annual Accounts In case of salary income - Salary Slip, Copy of Form 16 	<ul style="list-style-type: none"> Net Worth Certificate Copy of Demat account holding statement. Bank account statement for last 6 months 	<ul style="list-style-type: none"> Any other relevant documents substantiating ownership of assets. Self declaration with relevant supporting documents.
---	---	--

- Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
 - Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- For non-individuals:
 - Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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 / U.T 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

(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 (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 <input type="text"/>)		
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		
Occupation Type*	<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"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorized			

PHOTO

Signature / Thumb Impression

☐ 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*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

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

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

Line 1*																					
Line 2																					
Line 3																City / Town / Village*					
District*						Pin / Post Code*						State / U.T Code*			ISO 3166 Country Code*						

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS 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*						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)

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

Date : DD - MM - YYYY

Place :

03

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ IPV Done

KYC / IN-PERSON VERIFICATION CARRIED OUT BY

Date	DD - MM - YYYY
Emp. Name	
Emp. Code	
Emp. Designation	
Emp. Branch	

[Employee Signature]

INSTITUTION DETAILS

Name	DPL COMTRADE PVT. LTD.
Code	

[Institution Stamp]

ANNEXURE 1 (PART - I)**KNOW YOUR CLIENT (KYC) Application Form - For Non Individuals**
☐ NEW ☐ CHANGE REQUEST (Please tick ✓ the appropriate)
Please fill this form in **ENGLISH** and in **BLOCK LETTERS**(Please tick ✓ the box on left margin of appropriate row where **CHANGE/CORRECTION** is required and provide the details in the corresponding row)**Acknowledgement No.****A IDENTITY DETAILS**

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

B ADDRESS DETAILS

<input type="checkbox"/>	1. Address for Correspondence _____
	City / Town / Village _____ Pin Code _____
	State _____ Country _____
<input type="checkbox"/>	2. Specify the Proof of Address submitted for Correspondence Address: _____
<input type="checkbox"/>	3. Contact Details
	Tel. (Off.) _____ Fax _____
	Tel. (Res.) _____ Mobile No _____
	E-Mail Id. _____
<input type="checkbox"/>	4. Registered Address (If different from above) _____
	City / Town / Village _____ Pin Code _____
	State _____ Country _____
<input type="checkbox"/>	5. Specify the Proof of Address submitted for Registered Address: _____

C OTHER DETAILS If space is insufficient, enclosed these details separately (illustrative format enclosed)

<input type="checkbox"/>	1. Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : _____
<input type="checkbox"/>	2a. DIN of Whole time directors : _____
<input type="checkbox"/>	2b. AADHAAR number of Promoters/Partners/Karta : _____

D DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/we may be held liable for it.

Date  4

Name & Signature of the Authorised Signatory(ies)

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

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: **DPL COMTRADE PVT. LTD.**Date of IPV:

Signature of the person who has done the IPV

Seal/Stamp of the Intermediary

☐ Originals Verified & Self Attested Document copies receivedDate Place : _____

Signature of the Authorised Signatory

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

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN </p> <p>3c. Aadhaar (UID) Number _____</p> <p>4. Residential/ Registered Address _____</p> <p style="text-align: center;">City / Town / Village _____</p> <p>Pin Code _____ State _____ Country _____</p> <p>5. Tel. / Mobile No. _____</p>	<p>3b. DIN </p> <p style="text-align: center;">PHOTOGRAPH</p> <p style="text-align: center;">Please affix your recent passport size photograph and sign across it</p>
--	--

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table></p> <p>3c. Aadhaar (UID) Number _____</p> <p>4. Residential/ Registered Address _____</p> <p style="text-align: right; margin-right: 100px;">City / Town / Village _____</p> <p>Pin Code _____ State _____ Country _____</p> <p>5. Tel. / Mobile No. _____</p>											<p>3b. DIN <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table></p> <div style="border: 1px solid black; padding: 10px; text-align: center; margin-top: 20px;"> <p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p> </div> <p style="text-align: center; margin-top: 20px;"> <input type="checkbox"/> PEP <input type="checkbox"/> Related to a PEP </p>										

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table> 3b. DIN <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table> </p>																					<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
<p>3c. Aadhaar (UID) Number _____</p> <p>4. Residential/ Registered Address _____</p> <p style="text-align: right;">City / Town / Village _____</p> <p>Pin Code _____ State _____ Country _____</p> <p>5. Tel. / Mobile No. _____</p>	<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> PEP <input type="checkbox"/> Related to a PEP </div>																				

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN </p> <p>3c. Aadhaar (UID) Number _____</p> <p>4. Residential/ Registered Address _____</p> <p style="text-align: right;">City / Town / Village _____</p> <p>Pin Code _____ State _____ Country _____</p> <p>5. Tel. / Mobile No. _____</p>	<p>3b. DIN </p>	<p>PHOTOGRAPH</p> <p>Please affix your recent passport size photograph and sign across it</p>
---	---	--

<p>1. Name _____</p> <p>2. Relationship with Applicant (i.e. promoters, whole time directors etc.) _____</p> <p>3a. PAN </p> <p>3c. Aadhaar (UID) Number _____</p> <p>4. Residential/ Registered Address _____</p> <p style="text-align: right;">City / Town / Village _____</p> <p>Pin Code _____ State _____ Country _____</p> <p>5. Tel. / Mobile No. _____</p>	<p>3b. DIN </p> <p style="text-align: center; border: 1px solid black; padding: 10px; margin-top: 20px;"> PHOTOGRAPH Please affix your recent passport size photograph and sign across it </p>
---	--

Name & Signature of the Authorised Signatory (ies)

Date :

--	--

--	--

--	--	--	--

DPL COMTRADE PVT. LTD.

PAN Trading Code DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on
(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
 Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

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

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform DPL Comtrade Pvt. Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Client Signature 

Date :

Place :

For Investor convenience, DPL Comtrade Pvt. Ltd. collecting this mandatory information for updating across all Group Companies of DPL Comtrade Pvt. Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest DPL Comtrade Pvt. Ltd. branch or you can dispatch the hard copy to-

DPL Comtrade Pvt. Ltd.
VC-1, Prime Plaza, 1st Floor, Sector-3,
Vaishali-201010, Ghaziabad (U.P.)

• For Detail Terms & Conditions please visit www.dplcomtrade.com

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

[illegible]

Type of address given at KYC KRA	Residential		Residential or Business		Business		Registered Office	
----------------------------------	-------------	--	-------------------------	--	----------	--	-------------------	--

[illegible][illegible]

Net Worth in INR. In ` Lakhs		Net Worth as on							DD / MM / YYYY
------------------------------	--	-----------------	--	--	--	--	--	--	----------------

(Date should not be older than one year)

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES	Money Laundering / Pawning	YES	Any other information [if applicable]
		NO		NO		NO	

Entity Constitution Type	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI					
Please tick as appropriate	<input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Others specify					

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.)

Country	Tax Identification Number [%]	Identification Type (TIN or Other [%] , please specify)

[%]In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

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

FATCA Declaration

(Please consult your professional tax advisor for further guidance on FATCA classification)

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

1. We are a, Financial institution ⁶ <input type="checkbox"/> or Direct reporting NFFE ⁷ <input type="checkbox"/> <i>(please tick as appropriate)</i>	<div style="display: flex; align-items: flex-start;"> <div style="width: 15%;">GIIN</div> <div style="width: 85%; border: 1px solid black; height: 25px; position: relative;"> <div style="position: absolute; top: 5px; left: 5px; right: 5px; bottom: 5px; border: 1px solid black; display: flex; justify-content: space-between;"> 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 </div> </div> </div> <p>Note: <i>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</i></p> <div style="display: flex; align-items: flex-start;"> <div style="width: 35%;">Name of sponsoring entity</div> <div style="width: 65%; border: 1px solid black; height: 25px; position: relative;"> <div style="position: absolute; top: 5px; left: 5px; right: 5px; bottom: 5px; border: 1px solid black; display: flex; justify-content: space-between;"> 1234567891011121314151617181920 </div> </div> </div>
GIIN not available <i>(please tick as applicable)</i> <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category ¹⁰ <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 5px;"> </div> <input type="checkbox"/> Not obtained – Non-participating FI	

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

1.	Is the Entity a <i>publicly traded company</i> ¹ (that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a <i>related entity</i> ² of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an <i>active</i> ³ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code – refer 2c of Part D)
4.	Is the Entity a <i>passive</i> ⁴ NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section.) Nature of Business _____

¹Refer 2a of Part D | ²Refer 2b of Part D | ³Refer 2c of Part D | ⁶Refer 1 of Part D | ⁷Refer 3(vii) of Part D | ¹⁰Refer 1A of Part D

UBO Declaration	
-----------------	--

☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company

☐ Listed Company (Need not provide UBO details sought under) ☐ Others (please specify_____)

Owner-documented FFI's⁵ should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name - Beneficial owner / Controlling person		#Tax ID Type - TIN or Other, please specify		Address - Include State, Country, PIN / ZIP Code & Contact Details	
#Country - Tax Residency*		Beneficial Interest - in percentage			
#Tax ID No. - Or functional equivalent for each country ⁹		#Type Code ¹¹ -of Controlling person			
1. Name		Tax ID Type		Address	
Country		Beneficial Interest			
Tax ID No.		Type Code		ZIP <input type="text"/>	State: <input type="text"/> Country: <input type="text"/>
2. Name		Tax ID Type		Address	
Country		Beneficial Interest			
Tax ID No.		Type Code		ZIP <input type="text"/>	State: <input type="text"/> Country: <input type="text"/>
3. Name		Tax ID Type		Address	
Country		Beneficial Interest			
Tax ID No.		Type Code		ZIP <input type="text"/>	State: <input type="text"/> Country: <input type="text"/>

(Please attach additional sheets if necessary)

PAN City of Birth Country of Birth		Occupation Type - <i>Service, Business, Others</i> Nationality Father's Name - <i>Mandatory if PAN is not available</i>		DOB - <i>Date of Birth</i> Gender - <i>Male, Female, Other</i>	
1. PAN		Occupation Type		DOB	DD/MM/YYYY
City of Birth		Nationality		Gender	<div>Male</div> <div>Female</div>
Country of Birth		Father's Name			<div>Others</div>
2. PAN		Occupation Type		DOB	DD/MM/YYYY
City of Birth		Nationality		Gender	<div>Male</div> <div>Female</div>
Country of Birth		Father's Name			<div>Others</div>
3. PAN		Occupation Type		DOB	DD/MM/YYYY
City of Birth		Nationality		Gender	<div>Male</div> <div>Female</div>
Country of Birth		Father's Name			<div>Others</div>

[%]In case Tax Identification Number is not available, kindly provide functional equivalent.

⁴Refer 3(iii) of Part D | ⁵Refer 3(vi) of Part D | ¹¹Refer 3(iv) (A) of Part D

FATCA Terms and Conditions

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. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification

I have understood the information requirements of this Form (*read along with the Instructions & Definitions*) and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name	<div style="border-bottom: 1px solid black; height: 20px;"></div>
Designation	<div style="border-bottom: 1px solid black; height: 20px;"></div>
Signature >>	<div style="position: relative; height: 60px; margin-top: 20px;"> <div style="border: 1px solid black; width: 90%; height: 80%;"></div> </div> <div style="text-align: right; margin-top: 20px;"> Place _____ Date __ / __ / ____ </div>

ANNEXURE 1 (PART - II)
TRADING ACCOUNT RELATED DETAILS

DPL COMTRADE PVT. LTD.

FOR INDIVIDUALS & NON-INDIVIDUALS

PHOTOGRAPH

Please affix
Authorized
Signatories recent
passport size
photograph and
sign across it.

A. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum : <input type="checkbox"/> Below Rs. 1 Lac <input type="checkbox"/> Rs. 1 Lac to 5 Lac <input type="checkbox"/> Rs. 5 Lac to 10 Lac <input type="checkbox"/> Rs. 10 Lac to 25 Lac <input type="checkbox"/> Rs. 25 Lac to 1 Crore <input type="checkbox"/> >1 Crore OR
Net-Worth as on (Compulsory for Non-Individual Clients)	(date)..... (Rs.) (Net worth should not be older than 1 year)
Occupation (For Individuals Only) (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Farmer <input type="checkbox"/> Others. (Specify) _____
Please tick, as applicable (For Individuals Only)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (PEP) <input type="checkbox"/> Not a Politically Exposed Person (PEP) <input type="checkbox"/> Not Related to Politically Exposed Person (PEP)
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : (If you have a landline connection, kindly provide the same)	

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others		

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


C. DEPOSITORY ACCOUNT(S) DETAILS, if available

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

Note : Provide a copy of either Demat Master or a recent holding statement issued by DP bearing name of the client.

D. TRADING PREFERENCES

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

Sr. No.	Name of the National Commodity Exchanges	Date of consent for trading on concerned Exchange	Signature of the Client
1.	MCX		

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

E. INVESTMENT / TRADING EXPERIENCE

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

F. GST DETAILS (As applicable, State wise)

Legal Name			
Trade Name			
GSTIN		Registration Date	
Name of the State		State Code	
Other State GSTIN		Registration Date	
Name of the State		State Code	

G. PAST REGULATORY ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI / Stock Exchange / Commodity Exchange / any other authority against the client or its Partners / Promoters / Whole Time Directors / Authorized Persons incharge during the last 3 years :

☐ No ☐ Yes (If yes, please specify _____)

H. DEALING THROUGH OTHER MEMBERS

If client is dealing through any other Member, provide the following details (in case dealing with multiple Member's/AP's, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's/Authorised Person(AP)'s Name			
Exchange			
Exchange's Registration No.			
Concerned Member's Name with whom the AP is registered			
Registered Office Address			
Tel.:		Fax	
E-mail		Website	
Client Code			
Details of disputes / dues pending from/to such Member / AP:			

I. INTRODUCER DETAILS (optional)

Name of the introducer	(Surname)	(Name)	(Middle Name)
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (Pl. Specify)_____		
Address and Phone No. of the Introducer			
		Signature of the Introducer	

J. ADDITIONAL DETAILS

<p>■ Whether you wish to receive communication from Member in electronic form on your Email-id.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No (If yes then please fill in Appendix - A)</p>
---	--

K. NOMINATION DETAILS (For Individual Clients only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee	
Relationship with the Nominee	
PAN of Nominee	<div style="display: flex; align-items: center;"> <div style="flex: 1; border-bottom: 1px solid black; width: 100%;"> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> </div> <div style="border-left: 1px solid black; padding-left: 5px; font-size: small;">Date of Birth of Nominee</div> <div style="flex: 1; border-bottom: 1px solid black; width: 100%;"> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> <div style="width: 100%; height: 1em; margin-bottom: 2px;"></div> </div> </div>
Address and Ph. No. of the Nominee	
If Nominee is a minor, details of guardian :	
Name of the Guardian	
Address and Ph. No. of Guardian	
Signature of Guardian	

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

Name	
Signature	
Address	

Name	
Signature	
Address	

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / We are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the tariff sheet and all voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Do's and 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.

Place	
Date	

 8

Signature of Client / (all) Authorised Signatory(ies)*

**Form need to be signed by all the authorized signatories
(In case of Non-Individual Clients).*

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

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

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

For **DPL Comtrade Pvt. Ltd.**

Signature of the Authorised Signatory

Seal / Stamp of the Member

Date : _____

1. Refusal of orders for penny / illiquid commodity

The commodity broker may from time to time limit (quantity/ value) / refuse orders in one or more commodities due to various reasons including market liquidity, value of commodity(ies), the order being for commodities which are not in the permitted list of the commodity broker / exchange(s) / SEBI. Provided further that commodity broker may require compulsory settlement / advance payment of expected settlement value/ delivery of commodities for settlement prior to acceptance / placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone.

The commodity broker may require reconfirmation of orders, which are larger than that specified by the commodity broker's risk management, and is also aware that the commodity broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The commodity broker may from time to time impose and vary limits on the orders that the client can place through the commodity broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of commodities in respect of which orders can be placed etc.). The client is aware and agrees that the commodity broker may need to vary or reduce the limits or impose new limits urgently on the basis of the commodity broker's risk perception and other factors considered relevant by the commodity broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in commodity specific / volume specific exposures etc.), and the commodity broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the commodity broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the commodity broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the commodity broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in commodities through the commodity broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / commodities or the order being outside the limits set by commodity broker / exchange/ SEBI and any other reasons which the commodity broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The commodity broker is required only to communicate / advise the parameters for the calculation of the margin / commodity requirements as rate(s) / percentage(s) of the

dealings, through anyone or more means or methods such as / post speed post / courier / registered post / registered AD / facsimile / telegram / cable / e-mail / voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the commodity broker; by publishing / displaying it on the website of the commodity broker / making it available as a download from the website of the commodity broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department / the courier company / newspaper company and the e-mail / voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail / voice mail service provider, etc. by the commodity broker and the client agrees never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever and once parameters for margin / commodity requirements are so communicated, the client shall monitor his / her / its position (dealings / trades and valuation of commodity) on his / her / its own and provide the required / deficit margin / commodity forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the commodity broker to the client and / or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin / commodity and that it shall be his / her / its responsibility to ascertain beforehand the margin / commodity requirements for his / her / its orders / trades / deals and to ensure that the required margin / security is made available to the commodity broker in such form and manner as may be required by the commodity broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the commodity broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she lit shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) & / or any claim / loss/ damage arising out of the non availability /shortage of margin /commodity required by the commodity broker & / or exchange & /or SEBI.

The commodity broker is entitled to vary the form (i.e., the replacement of the margin / commodity in one form with the margin / commodity in any other form, say, in the form of money instead of shares) & / or quantum & / or percentage of the margin & / or commodity required to be deposited / made available, from time to time.

The margin / commodity deposited by the client with the commodity broker are not eligible for any interest.

The commodity broker is entitled to include / appropriate any/ all payout of funds & / or commodities towards margin / commodity without requiring specific authorizations for each payout.

The commodity broker is entitled to transfer funds &/ or commodities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the commodity broker. The client also agrees and authorises the commodity broker to treat / adjust his / her / its margin / commodity lying in one exchange & / or one segment of the exchange / towards the margin / commodity / pay in requirements of another exchange &/ or another segment of the exchange.

The commodity broker is entitled to disable / freeze the account &/ or trading facility / any other service facility, if, in the opinion of the commodity broker, the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the commodity broker so apprehends.

3. Applicable brokerage rate

The commodity broker is entitled to charge brokerage within the limits imposed by exchange/Sebi.

Any stamp duty payable on the trades executed on behalf of the client will be the sole liability of the client only and the client will be responsible to pay the same to the revenue authorities.

4. Imposition of penalty / delayed payment charges

The clients will be liable to pay late pay in/delayed payment charges for non making payment of their payin/margin obligation on time as per the exchange requirement /schedule at the rate upto 2% per month. In case of purchase by the client, he will be charged delayed payment charges from one day before the payin date and in case of sale, delayed payment charges will be charged till one day after the payout date.

The client agrees that the commodity broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the commodity broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

The client agrees to pay to the commodity broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the commodity exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, incidental expenses such as postage, courier, DP charges etc. as they apply from time to time to the client's account / transactions / services that the client avails from the commodity broker.

5. The right to sell clients' commodities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

Without prejudice to the commodity brokers other right (Including the right to refer the matter to arbitration), the commodity broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The commodity broker maintains centralized banking and commodities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/commodities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and commodities. The commodity broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/commodities by the client in the designated account(s) of the commodity broker for meeting the pay in obligation of either funds or commodities. If the client gives orders / trades in the anticipation of the required commodities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of commodities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at. the exchange or commodity broker level/non release of margin by the commodity broker etc., the losses which may occur to the client as a 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 cases of commodities lying in margin account/client beneficiary account and having corporate actions like Bonus, Commodity split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Commodity split, Right issue etc will be given when the shares is actually received in the commodity broker designated demat account.

In case the payment of the margin / commodity 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 realization of the funds from the said bank instrument etc. at the absolute discretion of the commodity broker.

Where the margin / commodity is made available by way of commodities or any other property, the commodity broker is empowered to decline its acceptance as margin / commodity & / 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/closeliquidate all open positions/ commodities/ commodity at the pre-defined square

off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, 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 commodities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. 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 / commodity is to be made available and the commodity broker may refuse to accept any payments in any form after such deadline for margin / commodity expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/commodity or to meet the funds/margins/commodities 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 steps:

- (i) To withhold any payout of funds / commodities.
- (ii) To withhold / disable the trading / dealing facility to the client.
- (iii) To liquidate one or more commodity(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 commodities here includes commodities which are pending delivery / receipt.
- (iv) 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.
- (v) 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 anyone 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.

6. Shortages in obligations arising out of internal netting of trades

Commodity broker shall not be obliged to deliver any commodities or pay any money to the client unless and until the same has been received by the commodity broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her / its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a) The short delivering client is debited by an amount 'equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T +3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- b) If commodities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T +3 day or Auction day on Exchange + 10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c) In cases of commodities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure / record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

The commodity broker has margin based RMS system. Client may take exposure upto the amount of margin available with broker.

Client may not be allowed to take position in case of non-availability/shortage of margin as per RMS policy of the broker. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

8. Temporarily suspending or closing a client's account at the client's request

- (i) The client may request the commodity broker to temporarily suspend his account, commodity broker may do so subject to client accepting / adhering to conditions imposed by commodity broker including but not limited to settlement of account and/ or other obligation. Same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ledger balance settlement can take place.
- (ii) The commodity broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

9. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the commodity broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (i) If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any commodities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the Client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (v) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (vi) If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- (vii) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Commodity;
- (ix) 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;
- (x) If the Client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the commodity broker;
- (xi) If the Client is in breach of any term, condition or covenant of this Agreement;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

However notwithstanding any termination of the agreement, all transactions made under / pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Commodity Broker. Trading in Exchange 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 or any break down in the broker's back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond the broker's control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The client shall be fully liable and responsible for any such problem/fault.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through anyone or more means or methods such as post / speed post / courier / registered post / registered A.D / facsimile / telegram / cable / e-mail/ voice mails / telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees / agents of the commodity broker; by publishing / displaying it on the website of the commodity broker / making it available as a download from the website of the commodity broker; by displaying it on the notice board of the branch / office through which the client trades or if the circumstances, so require, by radio broadcast / television broadcast / newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department / the courier company / newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department / the courier company / the e-mail/voicemail service provider, etc. by the commodity broker and I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be 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.


9

Client Signature

TARIFF SHEET

BROKERAGE		FIXED%	MINIMUM
Commodity Market	Intraday		
	Delivery		
		FIXED%	PER LOT
	Option		

Note:

1. Transaction charges, Stamp Duty, GST, Clearing Member Charges and all legal levies as may be applicable from time to time shall be charged separately in addition to the brokerage.
2. If any cost (Courier, DP charges etc.) is incurred on the behalf of client, same shall be recovered from the client's trading account on actual basis.
3. In case of overdue debit balance in client's account, member reserves the right to debit delay payment charge upto 2% p.m. to the client's account.
4. In case Diet ID has been provided to the client a ID Charge @ _____ % of turnover or Rs _____ /- per month per segment shall be charged extra.  10
5. Charges/ service standards are subject to revision at sole discretion of DPL Comdtrade Pvt. Ltd.
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
7. Call and Trade Charges to be applicable for Online clients at Rs. 20/- per trade. (Exclusive of GST).

 11

Client Signature

BRANCH-IN-CHARGE	CLIENT	Received & Verified by	Activated by	Cross Verified by

DISCLOSURE INFORMATION (FOR DPL COMTRADE PVT. LTD.)

To,

_____ (Client Name)

Dear Sir/Madam,

This is to inform you that DPL COMTRADE do client based trading and Pro-account Trading in Multi Commodity Exchange of India Ltd (MCX) .

I/We acknowledge the receipt of the information given by DPL Comtrade Pvt. Ltd. that they do client based trading and Pro-account trading.

 12

Client Signature

ELECTRONIC CONTRACT NOTE (ECN) DECLARATION

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Dear Sir,

I _____ a client with member M/S. _____
of _____ Exchange undertakes 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 operation.
- 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.
- I/We am/are aware that this authorisation can be revoked any time by giving a notice in writing.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in own handwriting of the client)

Client Name: _____

Unique Client Code : _____

PAN: _____

Address : _____

 13 _____
Client Signature

Date : _____ Place: _____

Verification of the client signature done by,

Name of the designated officer of the Member _____

Signature _____

LETTER OF AUTHORITY

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Client Name : _____

Client Code : _____

Date : _____

Dear Sirs,

Sub : Letter of Authority

I / We am / are dealing in Commodities with you at MCX and in order to facilities ease of operations, I / We authorize you as under:

1. I / We authorise you to setoff outstanding in any of my accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the same or other Exchange(s) and/or against the value of cash margin or other collateral provided to you by me / us.
2. I / We hereby authorise you not be provide me Order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I / We shall get the required details from contracts issued by you.
3. I / We request you to consider my / our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We am / are getting required details from contracts issued by you.
4. I / We agree and understand that the margin deposited by me/us is interest free and DPL Comtrade Pvt. Ltd. shall not be liable to pay any interest thereon to me/us.
5. I / We request that you may send/despach my / our statement of accounts and other documents through E-mail : on my designated e-mail address of _____.
6. I / We will completely rely on the log reports of your despatching software as a conclusive proof of dispatch of e-mail to me and will not dispute the same.
7. I / We will inform you the change in my / our e-mail, if any, in future either by regd. post or through e-mail.
8. I / We confirm that I / We will not sublet the trading terminal on any term of connectivity from my / our place under any circumstances.
9. I / We shall abide by the rules regulations/guidelines circulars of the exchange issue from time to time as applicable and shall be liable for non-adherence.
10. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered by you from my account.
11. I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/we can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.

Thanking you,

Your faithfully,

 14

Client Signature

RUNNING ACCOUNT AUTHORISATION

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Client Name : _____

Client Code : _____

Date : _____

Dear Sirs,

I/We are dealing through you as a client in commodities derivatives segment and in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under:

1. I/We request you to maintain running balance in my account and retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other obligation(s) in any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to retain securities / commodities with you for my/our margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my account
☐ Once in every calendar Quarter or
☐ Once in a calendar Month

Except the funds given towards collaterals/ margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet future margin obligations, calculated in the manner specified by the Exchange(s) / SEBI.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities/commodities or statement of account or statement related to it, as the case may be.
6. I/We further authorize you to retain such other minimum amount as may be prescribed by Exchange/ Regulatory Authority from time to time. The same may be released on my/our specific request.
7. I/We have been informed by the member that it shall transfer the funds / securities lying in the credit of the client within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation.
8. I/We have been informed by the member that there shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

 15

Client Signature

BANKER'S VERIFICATION

To,

DPL COMTRADE PVT. LTD.

Date : _____

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Dear Sir,

This is to certify that the savings / current account no. _____ of
Mr. / Ms / M/s. _____ held
jointly with Mr./Ms/M/s. _____ with our branch, has
been active since _____.

We confirm that the signature of the client agrees with the specimen held in our records. This verification is without any responsibility on the part of the bank or the signing officer.

Signature of Client  16 _____



signed in my / our presence and attested by me / us

Bank Name & Address	
Name & Signature of Authorised Signatory	
Stamp of the Bank Branch	

REQUEST FOR TRADING IN COMMODITY FORWARD CONTRACTS / COMMODITY DERIVATIVES ON MCX

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Dear Sir,

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

I/We, the undersigned, have taken cognizance of circular no. MCX/338/2006 dated August 21, 2006 issued by the Multi Commodity Exchange of India Ltd. (MCX) on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

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

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

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

Yours faithfully

 17

Client Signature

Sole Proprietor/Partner/Director/Karta/Trustee

MOBILE DECLARATION

I, _____
having Client Code No. _____ do hereby declare that my
mobile no. is _____. Further, I authorize DPL Comtrade Pvt. Ltd. that the
same maybe used for giving me any information/alert/sms/call.

I further declare the above mentioned statement is true and correct.

 18

Client Signature

Name of the Client : _____

Dated :

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

FOR REGISTRATION AND VERIFICATION OF MOBILE NUMBER AND E-MAIL ADDRESS

To,

The Compliance Officer

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Date : _____

Member Id's :

55705 (MCX)

I/We am/are aware that MCX provide SMS/email alerts to the constituents (clients) of its member for trades executed on its platform. I/We hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as email from Exchanges.
- I want to receive transaction alerts only in SMS from Exchanges.
- I want to receive transaction alerts only in Email from Exchanges.
- I do not want to receive any transaction alerts from Exchanges, specify reason

.....
The alerts should be sent on :

Mobile number (enter 10 digit mobile no.)

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

E-mail Id.....

I/We agree to the terms and conditions specified by the Exchange in its circular no. SEBI/4/2012/C/13 dated 02/02/2012 as modified from time to time. I/We am/are aware that the receipt of SMS/E-mail alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Name of the Client : _____

Client Id : _____

19

Client Signature

UNDERTAKING TO ACT IN OWN CAPACITY

I/We do hereby solemnly affirm and declare as under :

1. That my/our registration with DPL Comtrade Pvt. Ltd. (DPL) is in individual capacity and is for transacting on my/our own account. And that no one except myself/ourself has/have any interest in the account with DPL.
2. That I/We shall not be acting further as an intermediary / sub-broker in any manner whatsoever for the transactions executed in any segment of any security exchange(s) in my/our account with DPL.
3. That I/We further state that if anybody on my/our behalf makes claim of any amounts / securities on account of the transactions in my/our account, the said act shall be null and void and shall be ineffective from all corners.
4. In case DPL finds that I/We am/are acting as an un-registered Sub-broker, DPL can immediately cancel my/our account with them and adjust all credit against my/our liabilities.
5. That I/We shall inform DPL any of my/our registration in any capacity with any other member of the exchange(s) to transact on the same segment as at DPL.
6. I/We shall not make any payment to DPL drawn on the account of any third party whether related to me/us or not. All payments to my/our above A/c shall be from bank accounts that stand in my/our own name and registered with DPL.
7. I/We shall not make any cash payment to DPL nor shall I/We insist on any sales person/business associate to accept cash in lieu of account payee cheque/fund transfer. I/We understand that DPL does not accept cash from clients and therefore any cash payment made by me/us to any staff shall be at my/our sole risk and I/We absolve DPL of all liability and claim that may arise from any cash payment made by me/us.
8. I/We have been made understood by DPL that it does not permit any of its employee to place any discretionary orders in the account of any client therefore I/We must not authorise any of DPL's staff member to place any discretionary order under any circumstances in my / our trading account and that DPL limits its liability in the event of I/we giving any such authorisation to any of the Employee of DPL.

 20

Client Signature

Client Name _____

Client Code _____

DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

I _____ s/o, w/o, d/o _____

_____, refer to my Trading Account

_____ with DPL Comtrade Pvt. Ltd. (DPL) do hereby affirm, declare and undertake that

1. That my name as it appears on my Pan Card is _____
2. That my name as it appears on the Income Tax website is _____
3. Additional ID Proof _____
4. That my name as it appears on the Address proof is _____
5. That my name as it appears on the Bank Proof is _____
6. That above mentioned names, on Trading account, Tax website, Address proof, PAN Card No. _____ and Bank account bearing no. _____ are mine alone.
7. That I hereby request DPL to maintain my name in Demat and Trading account as per the name appearing on the website / PAN card.
8. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. DPL may, at its sole discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
9. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
10. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to DPL.
11. That I further declare that I am responsible and I shall indemnify & keep indemnified DPL, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cum- undertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to DPL is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.

 21

Client Signature

Name of the Client : _____

Dated :

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

DECLARATION BY JOINT FAMILY

To,

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

1. WHEREAS the Hindu Undivided Family of.....
(hereinafter referred to as 'the said joint family') carrying on business in the firm name and style of at.....or
elsewhere (hereinafter referred to as 'the said H.U.F. firm) have or desire to have Commodity Trading A/c with
M/s. DPL Comtrade Pvt. Ltd. (hereinafter to as 'Member') we, the undersigned hereby declare
 - a) that we are the present adult co-parceners of the said joint family.
 - b) that Sh. is the present Karta or Manager of the said Joint Family.
 - c) that we are entitled to trade in Commodity and open Commodity Trading Account of the said Joint Family.
 - d) that each one of us has full unrestricted authority to act on behalf of, and bind, the said H.U.F. firm and all the present as well as future members, both adults and minors, of the said joint family, howsoever constituted from time to time.
2. We confirm that affairs of the said joint family and the business of the said H.U.F. firm are carried on mainly by the Karta/Manager, the said Shri..... on behalf of H.U.F.
3. We hereby authorize the Karta/Manager Shri..... on behalf of the H.U.F. to deal in Commodity Market Segment or any other segment that may be introduced by MCX in future and the said Trading cum Clearing Member is hereby authorized to honor all instructions oral or written given by him on behalf of the H.U.F.
4. The names and dates of birth of the present minor co-parceners of the said joint family are given below. We undertake to inform you in writing as and when each of the said members attains the age of majority and is authorized to act on behalf of bind, the said H.U.F. Firm.

⊗

(Karta) Signature

CO-PARCENERS DETAIL

S.No.	Name of the Co-Parceners	Date of Birth	PAN No.	Address	Sign.

Please attach following documents :

1. Self attested copy of PAN Card of all the Co-Parceners.
2. Self attested copy of address proof of all the Co-Parceners.
3. Birth Certificate of Minor Co-Parceners.

DECLARATION BY SALES PERSON / SUB-BROKER / AUTHORISED PERSON

To,

Date_____

DPL COMTRADE PVT. LTD.

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Dear Sir,

This is in reference to the trading account under consideration in the name of.....

R/o....., I

declare that I have met the above captioned person personally & have verified copy of under mentioned KYC documents with original, which is enclosed with account opening form & I also confirm that client has signed at the designated places in this form in his/her own hand in my presence.

The following KYC documents are checked and verified from the original documents :

1.
2.
3.
4.
5.
6.
7.

Date of verification of documents :

The above statement is true and correct and made under my own free mind without having any coercion, misrepresentation or fraud.

Name of the person :

Signature :

Employee / Branch Code :

For office use :

Name of Officials :	
Remark :	

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
DPL COMTRADE PVT. LTD.

Date_____

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)

Corp. Office : VC-1, Prime Plaza, 1st Floor Sector-3, Vaishali-201010, Ghaziabad (U.P.)

Dear Sir,

We refer to the Commodities trading account being opened / opened with you in the name of _____
_____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the Commodities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for Commodities purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above Commodities trading account of the firm.

We hereby authorize _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with DPL Comtrade Pvt. Ltd. and to place order for buying and selling of Commodities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signature

FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT

(TO BE PRINTED ON LETTER HEAD OF COMPANY)

**CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD
OF DIRECTORS OF _____ (Co. Name) CONVENED ON
THE _____ (date) /TIME AT _____**

"RESOLVED THAT an account for the purpose of trading in Commodities be opened with M/s. **DPL Comtrade Pvt. Ltd.**, Member - Multi Commodity Exchange of India Ltd., hereinafter referred to as the Broker, for undertaking sale & purchase of Commodities on the said exchange(s).

FURTHER RESOLVED THAT Shri _____ and Shri _____, Directors of the Company, be and are hereby, authorised severally to do all such acts, deeds, things and sign all documents papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with Broker.

FURTHER RESOLVED THAT the aforementioned Directors, be and are hereby, authorised severally, to give instructions on behalf of the Company. for conducting trading in Commodities for and on behalf of the Company.

FURTHER RESOLVED THAT, a copy of this resolution be forwarded to the Broker by Shri _____ or Shri _____ Directors, & the Broker, be instructed to honour the instructions of Shri _____ and / or Shri _____, Directors of the Company to carry on trading in Commodities.

Certified true copy

For (Name of the Company)

Director

Dated :

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

Place :

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

CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE :	BRANCH CODE : RL/TL SUB BRANCH CODE :	CLIENT CODE
---	---	-------------

I.	CHECKING DETAILS	YES	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
i)	Stamp Paper : <input type="checkbox"/>		
j)	Exchange given : <input type="checkbox"/> MCX		
2.	Telephonic confirmation of Particulars done by _____ Date _____ Time _____ On Phone No. _____		
3.	Details Punched in Computer by _____		
4.	Cross Checking done by _____		
5.	<div style="display: flex; justify-content: space-between;"> <div> UCC UPLOADED : <input type="checkbox"/> MCX </div> <div> <input type="checkbox"/> ENTERED IN FORM DATA </div> </div>		
6.	BACK OFFICE WEB LOGIN User Name ID _____ Password _____		
7.	DP WEB LOGIN User Name ID _____ Password _____		
8.	Form sent to Surveillance by _____ Date : _____ Time : _____		
9.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
10.	INTERNET TRADING <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net User ID _____ Password _____		
11.	Client Account Status Report issued by _____		
12.	Form Returned to Compliance by _____ Date : _____ Time : _____		
13.	Kit Dispatched on _____ (Date) _____ Pod No. _____		



DPL COMTRADE PVT. LTD.

CIN : U93000HR2015PTC057364

Member : Multi Commodity Exchange of India Ltd. (MCX)

SEBI Regn. No.: INZ000105533 • Member ID : 55705

Regd. Office : B-403, 2nd Floor, Nehru Ground, Ballabhgarh 2, Faridabad-121001 (Haryana)
Ph.: 0129-4037321

Corporate Office : VC-1, Prime Plaza, 1st Floor, Sector-3,
Vaishali-201010, Ghaziabad (U.P.)

Tel.: 0120-4229945, Fax : 0120-4229947

Email : dplcomtrade@gmail.com

Website : www.dplcomtrade.com